

THE UNIVERSITY OF MANCHESTER

**Research Excellence Framework
2021**

CODE OF PRACTICE

Foreword

This Code of Practice will be an important part of our submission to the Research Excellence Framework (REF) 2021. It sets out the positive steps we are taking to achieve equality, fairness and transparency in the selection of outputs for inclusion within our University's REF 2021 return. It is vital that we base our decisions on the merits of eligible staff who are conducting excellent research.

I am deeply committed to the principles of equality, diversity and inclusion and I am proud to be President and Vice-Chancellor of a University that not only produces world-class research but also champions these principles as part of its approach to every aspect of its work.

Professor Dame Nancy Rothwell, President and Vice-Chancellor

Contents

Foreword	2
Part 1: Introduction	4
How the code relates to our institutional policies and strategic plan to promote and support Equality and Diversity	4
How we are implementing the principles of Transparency, Consistency, Accountability, and Inclusivity to ensure fair treatment in the REF2021 submission	6
The communications plan for the Code of Practice	7
Table 1: Timeline for review of Code of Practice by staff representative groups	7
Part 2: identifying staff with significant responsibility for research	8
Part 3: Determining research independence	9
Policies and procedures	9
Figure 1: Process for identifying Category A staff on Teaching & Research contracts	9
Figure 2: Process for identifying Category A staff on Research-only contracts	10
REF Governance	11
Figure 3a The University Research Strategy Group	11
Figure 3b. REF Governance: the University REF Project Board	11
Figure 3c: REF Governance – the Research Impact Group	12
Figure 3d REF Governance – the Staff Individual Circumstances Committee	12
REF role descriptions	13
Figure 4. Role descriptions for Unit of Assessment Coordinators and their Faculty Vice-Deans for Research	14
Appeals	16
Equality impact assessment	16
Table 2: Timeline for Equality Impact Assessments	17
Part 4: Selection of outputs	18
Policies and Procedures	18
Figure 5: Process for the selection of outputs for REF2021	19
Staff, committees and training	21
Staff Circumstances	21
Table 3: Early career researcher: Permitted reduction in outputs	22
Table 4: Secondments or career breaks: Permitted reduction in outputs	22
Equality impact assessment (EIA)	25
Part 5: Appendices	26
Appendix A: Comparison of the Inclusion of University of Manchester Staff in the REF 2014 with the Sector Average	26
Appendix B: Summary of equality legislation (original located in REF2021 Guidance on Codes of Practice)	31
Appendix C: Declaration of Individual Staff Circumstances template	35

Part 1: Introduction

The University of Manchester presents its approach for submission to REF2021 in this document. Our code of practice complies with equality and diversity legislation and provides a transparent explanation of our approach for our REF2021 submission.

We encourage every member of academic staff to read this document in full. The preceding contents page can be used to navigate to sections of particular interest. Some key points we highlight here are:

- The voluntary declaration of individual circumstances that may affect a staff member's ability to research productively over the course of the REF2021 assessment period

The section on [Staff Circumstances](#) details the procedures that are in place for staff to declare these circumstances and how the information will be processed.

- The approach to submission of former staff

The University will not submit an output for a former member of staff in specific cases; please refer to [Part 4: Selection of Outputs, Outputs of Former \(Category B\) Staff](#)

- The approach to identifying the best outputs for submission

REF eligible staff will be aware of the University's Research Review Exercise¹ and this document explains the processes that build upon the exercise to inform the selection of outputs for REF2021. Please find the full details in Part 4: Selection of Outputs, specifically [Figure 5](#).

- Establishing the Research Independence of staff

Part 3 of this document explains the process, with reference to the guidance provided by Research England on [Research Independence indicators](#), as well as a diagram of the [University's processes](#).

How the code relates to our institutional policies and strategic plan to promote and support Equality and Diversity

The University of Manchester is led by a President and Vice Chancellor who is '*deeply committed to the principles of Equality and Diversity*', as are her executive leadership team. The University has a clear strategy² for advancing equality and diversity, embedding inclusive practice and creating a structure that supports and includes all staff and students in all aspects of University life.

With this Code of Practice, the University will fulfil its obligations under equalities and employment law by ensuring staff eligible for submission to REF 2021 are treated fairly and are not discriminated against.

The Research Assessment Exercise (RAE) 2008, REF 2014 and the related equality impact assessment (EIA) process have provided the building blocks for the development of this Code. The University's

¹ Further information available at <https://www.staffnet.manchester.ac.uk/pure/rre/>

² Further information available at <https://staffnet.manchester.ac.uk/equality-and-diversity/policies-and-guidance/equality--diversity-policy/>

EIA is a continuous process that has informed the procedures that will be used for this submission. The final EIA assessment of the REF2021 submission will be published on the University's website.

A comprehensive Equality, Diversity and Inclusion analysis of The University's REF 2014 return³, revealed the following, which has informed our equality action plan in the intervening period:

- **Gender:** The small difference in the inclusion rate for men (79%) and women (76%) was not statistically significant and the gender gap was notably smaller than the HEI average. Among Readers the inclusion rate was higher for women than for men, which prompted an analysis to examine how long the women had been at the Reader level and whether further targeted action was needed to bring them forward for promotion to Professor.
- **BME staff:** The difference between the inclusion rate for UK BME (73%) and White (78%) staff was not statistically significant. However, non UK BME staff had a lower submission rate (65%), similar to the HEI sector average for this group of staff.
- **Disabled staff:** The inclusion rate for disabled staff (65%) was lower than for staff who were not disabled (78%) although markedly higher than the HEI sector average for disabled staff (47%). While the 13 percentage point gap at Manchester was not statistically significant because of the small number of staff with disabilities it signalled that further actions were necessary to progress our Equality and Diversity action plan for staff with disabilities.
- **Part-time staff:** The inclusion rate for part-time staff was higher than for full-time staff, and women on part-time contracts had the highest inclusion rate of all staff at the University.

The progress that the University has made in delivering its equality agenda, including the following key actions and achievements:

- Equality data targets, monitoring and action planning is built into the University's Annual Performance Reviews. This includes monitoring trends in the staff profile, an equality impact analysis at every stage of recruitment and annual promotion rounds, and follow on specific adjustments to equality action plans where required in light of this regular cycle of evaluation of progress against plan;
- The proportion of women among senior academics (Professor, Reader and Senior Lecturer) increased from 23.2% in 2009 to 31.4% in 2018. In addition, the proportion of females among Professors increased from 19.2% in 2009 to 25.6% in 2018;
- The proportion of BAME staff among senior academics increased from 8.8% in 2009 to 10.9% in 2018. There has been a steady increase each year in proportion of BAME among senior academics throughout the period. In addition, the proportion of BAME staff among Professors increased from 7.3% in 2009 to 9.3% in 2018;
- A commitment to the key principles of the concordat to support the career development of researchers is embedded in our policies. We hold an HR Excellence in Research award from the European Commission in recognition of our researcher development activities;
- An active engagement in the career advancement of female academics, through our participation in Athena SWAN and Project JUNO. The University holds an Athena SWAN

³ See [Appendix A](#)

Bronze award and of its 17 Schools, seven hold a Silver and eight a Bronze award. The remaining two schools are preparing applications;

- An active engagement in the career advancement of Black, Asian and Minority Ethnic staff as evidenced through being awarded the Race Equality Charter Mark Bronze;
- Dedicated staff resource to support disabled staff and the engagement with the Business Disability Forum's Disability Standard. We are a Disability Confident employer. This includes a guaranteed interview scheme for disabled job applicants who meet the essential job criteria;
- The University is a Stonewall top 100 employer for LGBT inclusion in the workplace and was placed 20th in 2018;
- Recruitment and promotions data are analysed and reported on each year by gender, BME status and disability to ensure there are representative numbers from the potential pool applying for vacancies and for promotion. Actions to redress inequalities include promotion workshops to encourage and support under-represented groups to apply for promotion, which are run in each Faculty. Additional work has also been undertaken through our Athena SWAN and Race Charter action plans, and our Disability forum. A notable success has been greater gender parity in promotion rates; for example in 2013, 29% of staff promoted to Professor were women, which has risen so that since 2015 the average annual rate is 41.79%, and in 2018 44% of staff promoted to Professor were women. We continue to monitor and evaluate progress, and take action, through our ongoing EIA processes.
- Benchmarking analysis undertaken from 2017 data has shown that the University had the narrowest mean Gender Pay Gap (GPG) of the Russell Group Universities at 17.1% and the fourth smallest median GPG at 13.1%. Action is being taken to continue this work and reduce the gap further.

Further information is available on the University's Equality and Diversity intranet pages⁴

How we are implementing the principles of Transparency, Consistency, Accountability, and Inclusivity to ensure fair treatment in the REF2021 submission

The principles set out below will be followed throughout the preparation of our submission.

- **Transparency:** Our selection criteria will be transparent and communicated widely to all REF-eligible staff, including those who are currently absent from the University. The information will be available in an easily accessible format and well publicised.
- **Consistency:** The University's REF Project Board is responsible for ensuring that the principles set out in this Code are applied consistently across the whole institution.
- **Accountability:** This Code clearly defines the responsibilities of individuals and groups involved in the decision making process for the REF 2021 submission.
- **Inclusivity:** This Code provides the principles and guidance required to ensure that those

⁴ www.manchester.ac.uk/equalityanddiversity

responsible for determining research independence do so in an inclusive and fair manner. All those involved in this process will undertake REF related training in equality and diversity issues.

The University of Manchester is committed to returning 100% of eligible staff to this exercise; for further detail please refer to [Part 3: Determining Research Independence](#).

The communications plan for the Code of Practice

The University will make every effort to ensure this Code of Practice is communicated to all academic staff (including those on leave of absence). We will do this through the following mechanisms and channels:

Publicising the Code of Practice widely: The Code of Practice will be publicised to all academic staff via our established range of communication channels including email, the President’s weekly update and other staff newsletters, school/department meetings and the University’s intranet. The Code of Practice and REF guidance will be available on our dedicated REF2021 web page on the intranet.

Letters to staff who are absent from the University: We will ensure that staff who are absent from the University are informed about the Code of Practice and where to find further information. This will include staff with an HR record of maternity, paternity or adoption leave, on academic leave (sabbatical), secondment or long-term illness/absence. The letter will be sent to staff via their home address and all materials will be available in accessible format on request.

The University’s annual Research Review Exercise (RRE): Information about the Code of Practice will be included in the message to all *currently eligible staff* when their outputs have been assigned predicted grades following the University’s Research Review Exercises in 2019 and 2020.

Table 1: Timeline for review of Code of Practice by staff representative groups

Date	Committee/group to review
March- early May 2019	Research Strategy Group ⁵ , to cascade to Faculty and School Research Committees for discussion and to engage staff through local channels. Feedback used to develop the Code.
20 th May 2019	Trade Union Negotiating Group
21 st May 2019	The Vice-Chancellor and her university executive (Senior Leadership Team)
7 th June 2019	Submission to REF2021
12 th June 2019	Senate

In addition to these committees, the University’s REF team has also sought feedback from staff network groups and Equality, Diversity & Inclusion committees, both centrally and in its faculties. This feedback has been used to inform the development of the Code of Practice.

⁵ See [REF Governance Groups](#)

Part 2: identifying staff with significant responsibility for research

The University of Manchester will submit 100% of its eligible staff and therefore this section is not utilised.

Part 3: Determining research independence

Policies and procedures

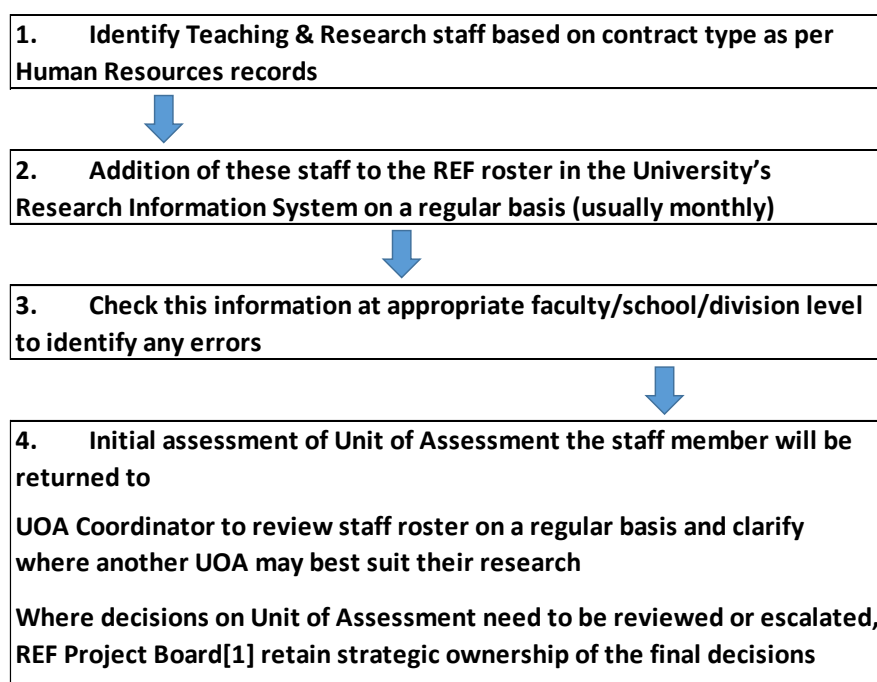
As stated in Part 2, the University of Manchester will submit 100% of its eligible staff. The processes for identifying these staff are detailed below, including context from relevant sections of the REF2021 Guidance on Submissions, as defined by Research England.

The REF2021 Guidance on Submissions defines Category A eligible staff as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research'⁶.

Teaching and Research Staff

All staff with a 'Teaching and Research' contract are eligible for submission (Category A staff); see Figure 1.

Figure 1: Process for identifying Category A staff on Teaching & Research contracts



[1] See REF2021 Project Board Terms of Reference and Membership in Part 3: Determining Research Independence, under the heading 'Staff, committees and training'

⁶ Individuals whose primary employment function is to undertake either 'research only' or 'teaching and research' are staff returned to the Higher Education Statistics Agency Staff Collection with an academic employment function of either 'Academic contract that is research only' or 'Academic contract that is both teaching and research' (identified as codes '2' or '3' in the ACEMPFUN field).

Research Staff

The REF2021 Guidance on submission defines an independent researcher as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.

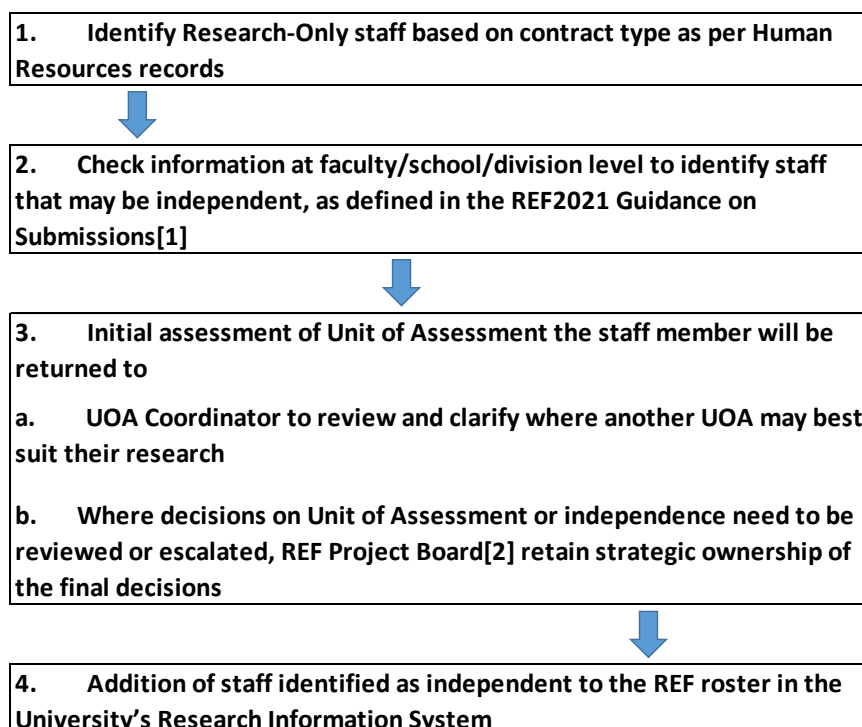
The Guidance provides possible indicators of independence, which are listed below and will be implemented through the process summarised in Figure 2. Institutions are asked to note that each indicator may not individually demonstrate independence and where appropriate multiple factors may need to be considered. The main panels have set out in the 'Panel criteria' (paragraphs 187 to 189) the indicators they consider appropriate for their disciplines.

The following indicators are considered appropriate by all main panels:

- Leading or acting as a principal investigator or equivalent on an externally funded research project
- Holding an independently won and competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance
- Leading a research group or a substantial or specialised work package.

According to the Guidance, being named on one or more research outputs (co-authorship) is not, in itself, an indicator of independent research. The [appeals section](#) in this document details the processes in place for those researchers who want their independence status to be reviewed.

Figure 2: Process for identifying Category A staff on Research-only contracts



[1] See details in Part 3: Determining Research Independence, under the heading 'Research-Only Staff'

[2] See REF2021 Project Board Terms of Reference and Membership in Part 3: Determining Research Independence, under the heading 'Staff, committees and training'

REF Governance

The Vice-President for Research (Pro VC) is a member of the University's executive team (Senior Leadership Team), and leads the University's Research Strategy and REF preparations. As part of this responsibility she:

- provides regular reports on REF preparation to the University's Board of Governors, the executive (Senior Leadership Team), the University Policy Resource Committee and Senate;
- Chairs the REF governance groups that are involved in the preparation and approval of the REF2021 submission, as detailed below (Figure 3a-d)

Figure 3a The University Research Strategy Group

<p>The University Research Strategy Group</p> <p>Leads the University Research Strategy and provides oversight for the annual Research Review Exercise and the Research Excellence Framework submission, receiving reports from the delegated focused forums (i.e. REF 2021 Project Board and Research Impact Group).</p> <p><i>Membership (March 2019)</i></p> <ul style="list-style-type: none">• The Vice-President for Research (Chair): Colette Fagan• Associate Vice-President(s) for Research: Chris Taylor, Stephen Yeates, Melissa Westwood• Associate Vice-President for Compliance, Risk and Integrity: Nalin Thakkar• Associate Vice-President for Internationalisation: Steve Flint• The Vice-Deans for Research in each Faculty: Nigel Hooper, Wendy Flavell, Gerard Hodgkinson• Director of Research and Business Engagement Support Service: Andrew Walsh• Head of Research Strategy (secretary): Sarah Albutt

Figure 3b. REF Governance: the University REF Project Board

<p>REF 2021 Project Board</p> <p>Reports regularly to the President and Senior Leadership Team, it:</p> <p>(a) Provides leadership for the University's participation in REF 2021</p> <p>(b) Determines the University REF strategy and ensures its effective communication throughout the institution</p> <p>(c) Makes recommendations on, and co-ordinates, REF planning and preparations across the University, including adequate resourcing</p> <p>(d) Assures the quality and robustness of the University's submission to REF 2021 across all Units of Assessment</p> <p>(e) Takes strategic ownership of the final decisions concerning: the allocation of staff to UOAs; the attribution of research income and student numbers to UOAs and any other REF-related matters.</p> <p>(f) Oversees the work of Research Impact Group in relation to delegated REF 2021 impact matters.</p> <p><i>Membership</i></p> <p>Relevant members of the University Research Strategy Group plus key academic and operational leads for the preparation of the REF 2021 submission:</p> <ul style="list-style-type: none">• The Vice-President for Research (Chair): Colette Fagan• Associate Vice-President(s) for Research: Chris Taylor, Stephen Yeates, Melissa Westwood• Associate Vice-President for Compliance, Risk and Integrity: Nalin Thakkar• The Vice-Deans for Research in each Faculty: Nigel Hooper, Wendy Flavell, Gerard Hodgkinson• Associate-Vice Deans for Research, Faculty of Science and Engineering: Mark Dickinson, Sam Shaw• Associate Dean for Research, Faculty of Humanities: Maj-Britt Mosegaard Hansen

- Academic Lead for REF & Impact, Faculty of Biology, Medicine and Health: Rebecca Elliott, Shaheen Hamdy
- The REF Managers in each Faculty: Rupa Lunan, Ann Fretwell, Elaine Edwards
- Director of Research and Business Engagement Support Services: Andrew Walsh
- Head of Research Strategy Team: Sarah Albutt
- University REF Manager (secretary): Andrew Railton

Figure 3c: REF Governance – the Research Impact Group

Research Impact Group

Reporting regularly to Research Strategy Group, its remit and objectives are:

- To coordinate embedding of impact planning and evidence collection into the research process,
- To facilitate capture, reporting and promotion of impact from research activities
- To assume operational responsibility for managing the pipeline of REF2021 impact cases.
- To identify opportunities to coordinate activities across disciplines and showcase breadth of impact
- To ensure that Knowledge Exchange activity and support is coordinated across the University and across disciplines to best support impact opportunities both internally and externally

Membership

- The Vice-President for Research (Chair): Colette Fagan
- Associate Vice-President(s) for Research: Chris Taylor, Stephen Yeates, Melissa Westwood
- Faculty VDs for Research or Faculty-level Academic Leads for Impact (*where appointed*): Mark Dickinson, Rebecca Elliot, Shaheen Hamdy, Gerard Hodgkinson
- Academic Lead for Public Engagement: Sheena Cruickshank
- Director of Research and Business Engagement Support Services: Andrew Walsh
- Director of Social Responsibility Office: Julian Skyrme
- Commercial Director UMI³: Jane Shelton
- Faculty PS Impact Leads: Elaine Edwards, Ann Fretwell, Rupa Lunan
- Knowledge Exchange representative: Lucy Stone
- Policy@Manchester representative: Tanya Graham
- Communications & Marketing representative: Sally-Ann Sykes
- Cultural Assets representative (Manchester Museum): Henry Mcghie
- Head of Research Strategy Team: Sarah Albutt
- Other co-opted participants from linked areas, to include Business Engagement, Library, Careers, Alumni (*by invitation*).
- Knowledge Transfer and Impact Coordinator (Secretary): Judith Gracey

Figure 3d REF Governance – the Staff Individual Circumstances Committee

Staff Individual Circumstances Committee

The University REF2021 Individual Staff Circumstances Committee reports to the REF Project Board and will:

- Make recommendations on, and co-ordinate, arrangements for the consideration of individual staff circumstances for REF2021 in line with the University's Code of Practice.
- Consider staff circumstances for the REF2021 submission and advise Unit of Assessment Coordinators where appropriate, in line with the REF2021 Guidance on Submissions.
- Consider staff circumstances for the REF2021 submission and advise on output pool reductions where appropriate, in line with the REF2021 Guidance on Submissions.
- Comply in full with all relevant legislation, including Equality and Diversity and Data Protection

laws.

It is comprised of a subset of the University REF2021 Project Board and senior members of the Human Resources directorate. The panel will convene once staff individual circumstances have been submitted for consideration.

- The Vice-President for Research (Chair): Colette Fagan
- The Associate Vice-Presidents for Research: Melissa Westwood, Stephen Yeates
- The Vice-Deans for Research in each Faculty: Nigel Hooper, Wendy Flavell, Gerard Hodgkinson
- The Head of Equality, Diversity and Inclusion: Patrick Johnson
- Human Resources: Sarah March
- Disability Advisory and Support Service: Louise Pepper
- REF Manager (secretary): Andrew Railton

REF role descriptions

The role descriptions of pivotal REF roles – the Unit of Assessment Coordinators and their Faculty Vice-Deans for Research – are summarised in Figure 4.

Figure 4. Role descriptions for Unit of Assessment Coordinators and their Faculty Vice-Deans for Research

<p>Unit of Assessment Coordinator</p> <p><u>Outline of role</u></p> <p>To co-ordinate, manage and sign off the REF 2021 return for their assigned unit of assessment. The post-holder must be a senior academic with experience in shaping research strategy.</p> <p><u>Main duties and responsibilities</u></p> <p>To ensure the timely return of full, appropriate and accurate information for all sections of the Unit of Assessment's (UOA) return in accordance with Research England, University and Faculty guidelines and in a manner that ensures optimal organisation of the return in the UOA.</p> <p>To ensure that mechanisms are in place in the UOA well before REF 2021 for the compilation of REF2 in a manner that optimises the UOA's REF return. This will include management of the process for internal and external review of outputs, which will happen through the 2019 and 2020 Research Review Exercises.</p> <p>To complete the required Research England templates for REF3 and REF5, writing appropriate text that describes optimally the excellence of the UOA's promotion of impact from research and research environment.</p> <p>To coordinate the production of the best possible impact case studies for the UOA's REF3, including both the identification of potential case studies and their writing and presentation.</p> <p>To ensure that appropriate further information and data is entered for the UOA's returns for REF1, REF2 and REF4.</p> <p>In undertaking these main responsibilities, the post holder will be expected:</p> <p>To liaise with University officers with responsibility for: co-ordinating the University's return; the provision of REF data; the maintenance of accurate data for REF; providing Research England and University guidance; determination of research strategy. This will include attendance at any meetings and training sessions organised by University officers and participating fully in all Research England consultations about the REF.</p> <p>To liaise with University officers, including: Vice-President for Research Vice-President and Dean of Faculty Faculty Vice-Deans for Research Head of School Head of the Directorate of Research and Business Support Services University REF Co-ordinator Faculty REF Admin Co-ordinator</p> <p>To be closely involved on an on-going basis in the determination of research strategy with the Head of School and work closely with the relevant School Research Directors.</p> <p>To communicate key REF information to colleagues, including from the official Research England guidelines. This should include guidance on how the panel will view differing forms of output and author status and the importance of research funding in the specific subject discipline.</p> <p>To review the previous REF2014 return.</p> <p>To work with the Head of School (if appropriate) to ensure that recruitment strategy is consistent with agreed research strategy.</p> <p>To consult with senior academic colleagues in drafting text for REF3 and REF5b.</p>
--

To devise and execute an action plan consistent with the Code of Practice for communicating to and managing any academic staff not returned in REF1 (where appropriate; this should be led by the Head of School with assistance from the UOA Coordinator)

To ensure that research strategy informs the annual appraisal process for academic staff.

To manage the output review aspect of the annual RRE for 2019 and 2020, including the nomination and appointment of any external reviewers and the allocation of outputs to reviewers.

To maintain and update data on the University's REF management system for the UOA. This system will be the University's mechanism for managing and submitting the REF 2021 return.

To check and correct in a timely manner drafts of the statistical returns circulated by the Directorate for Research and Business Support Services.

Following the completion of the return, to write a description of how the return was determined and undertaken and the factors that influenced it. A copy of this should be forwarded to the Head of School, the Dean and the University REF Co-ordinator.

Vice- Deans for Research

Outline of role

To act on behalf of the Vice-President and Dean as the strategic and operational lead for the Faculty's REF 2021 submissions and to form part of the University's strategic leadership for the institutional REF submission.

Main duties and responsibilities

To provide strategic guidance to relevant Heads of UOA and Heads of School to support optimal performance in the REF.

To manage/supervise the Faculty REF Admin Lead in the performance of his/her role.

To establish and chair appropriate Faculty fora for the determination, discussion and dissemination of information relating to Faculty REF strategy.

Through membership of Faculty management committees, to help to ensure that Faculty recruitment strategy is consistent with agreed research strategy.

To update the Dean, the Vice-President for Research and the REF Project Board of progress toward major REF objectives and to identify barriers and possible solutions to their achievement.

To support the Vice-President for Research as a member of the University Research Strategy Group and the REF 2021 Project Board to shape the University's overall strategy for REF submission; contribute to the oversight and coordination of the University REF 2021 submission; resolve appeals and unresolved cases and take part in the review of drafts of the UOA submission documents.

To sign off the final REF 2021 submissions for the Faculty's UOAs.

Equality and Diversity Training

Equality and Diversity and unconscious bias training are mandatory at the University for staff that sit on any form of interview or probation and promotion panels and equality and diversity training is also part of the induction for new staff. In addition, it is also mandatory for members of the University's leadership team. All staff involved in REF decision-making will undertake this training where it has not already been completed.

Additional mandatory REF dedicated equality and diversity training will be run for all staff involved

in REF decision-making (including the Unit of Assessment teams) during 2019 and into 2020 where required (e.g. where staff are newly appointed to decision-making positions). This training will be provided by the University of Manchester Equality, Diversity & Inclusion Office.

Appeals

All academic staff will be notified as to whether they have been identified as Category A (REF eligible) and invited to raise any queries about this status with the University of Manchester's REF team (REF2021@manchester.ac.uk). All queries will be actioned by the relevant UOA Coordinator and where appropriate, a final decision requested from the University's REF Project Board on the eligibility of individuals, based on the criteria provided by Research England. All newly appointed academic staff will be notified in the same manner.

The University is committed to ensuring that staff have the opportunity to raise complaints where they believe that decisions taken with regard to research independence for the REF submission have been discriminatory.

If a staff member would like to appeal against the decision on research independence on the basis that they believe there is evidence of discrimination, they may pursue the matter further under Part III of the Staff Grievance Procedure (Ordinance XXVIII).

Appeals should be made after 01/01/2019 and no later than 31/03/2020, which would allow enough time for amendments to, or inclusion in, the final submission return.

The main stages include:

- Stage 1: the grievance will be heard by the Vice- President and Dean of the staff member's faculty.
- Stage 2: If required, a Grievance Panel composed of the following will hear the case:
 - A Vice-President and Dean or Associate Dean of a Faculty other than the staff member's own (in the Chair);
 - Vice-President or Associate Vice-President for Research;
 - One other member of academic staff drawn from a panel of such staff appointed from time to time by the Senate.

Those involved in considering appeals will be independent from those involved in the original decision concerning research independence and will have received appropriate Equality and Diversity training.

It should be noted that there is no right of appeal against the academic judgment of those responsible for selecting outputs for inclusion in the REF submission.

There are no other internal appeals procedures beyond those detailed above. All complaints and consequential outcomes will be monitored and reported to the Equality, Diversity and Inclusion Leadership Group.

Equality impact assessment

An equality impact assessment (EIA) of the University's approach and processes for the REF 2021 submission will take place throughout 2019 – 2020. As explained in Part 1: Introduction, EIAs will drive the equality agenda for the University's submission to REF2021.

For information, the guidance provided by Research England in the **REF2021 Guidance on Codes of**

Practice regarding EIAs is as follows:

EIAs should enable HEIs to identify where discrimination may inadvertently occur within their REF processes. They will also enable HEIs to identify where a particular policy or practice has a positive impact on the advancement of equality or where there is an opportunity to take a step that will have a positive impact. Where potential discrimination is identified HEIs will need to justify the policy or practice within the constraints of the law or they will need to take actions to change the policy or practice. If a particular policy or practice is found to have a positive impact on equality, HEIs can seek to apply it to other areas of their REF work. If an opportunity to advance equality is identified due consideration should be given to implementing it.

In practice, this means that the University will continually assess the impact of its decisions on the identification of independent researchers. With facilitation from the Equality, Diversity and Inclusion Office, as well as the Directorate of Research and Business Engagement, UOA Coordinators will assess all EIAs and provide context for their UOA, identifying areas for improvement. While this will be an iterative process, the University will commit to the following fixed timescales for EIAs to ensure that as final decisions are made, equality is embedded in these processes:

Table 2: Timeline for Equality Impact Assessments

Month	Assessment
June 2019	Conclusion of Research Review Exercise
March 2020	Determining Research Independence
June 2020	Considering appeals against Research Independence
July 2020	Selection of outputs for submission
January 2021	Preparing the final submission

In addition, there will also be a requirement from Research England to submit a final EIA after the submission deadline, as detailed by Research England in the **REF2021 Guidance on Codes of Practice**:

The funding bodies will require HEIs to submit the final version of their EIA, after the submission deadline. This should include: the final analysis of data comparing the characteristics of staff with significant responsibility for research, with the characteristics of all eligible staff (where applicable); the final analysis of data comparing the characteristics of those determined to be independent researchers, with an appropriate comparator pool; and an examination of the distribution of outputs across staff in the unit. It should also include any actions taken to prevent discrimination or advance equality during the submission process and their outcomes, including the justification for and/or actions taken to address any differential impact that staff identification and output selection processes may have had on particular groups, and information about any policies or practices that had a positive impact on equality during the submission process.

The University will use this EIA opportunity to comprehensively assess the EDI profile with that from the previous REF2014 and identify strengths and areas for improvement to inform the University's equality and diversity action plan. The conclusions of this EIA will be published and available on the REF2021 website.

The conclusions of these equality reviews will be discussed by the REF Project Board and with relevant stakeholders, including Trade Unions and staff equality networks. The University Equality and Diversity Action Plan will be adjusted where necessary in light of the EIA results.

Part 4: Selection of outputs

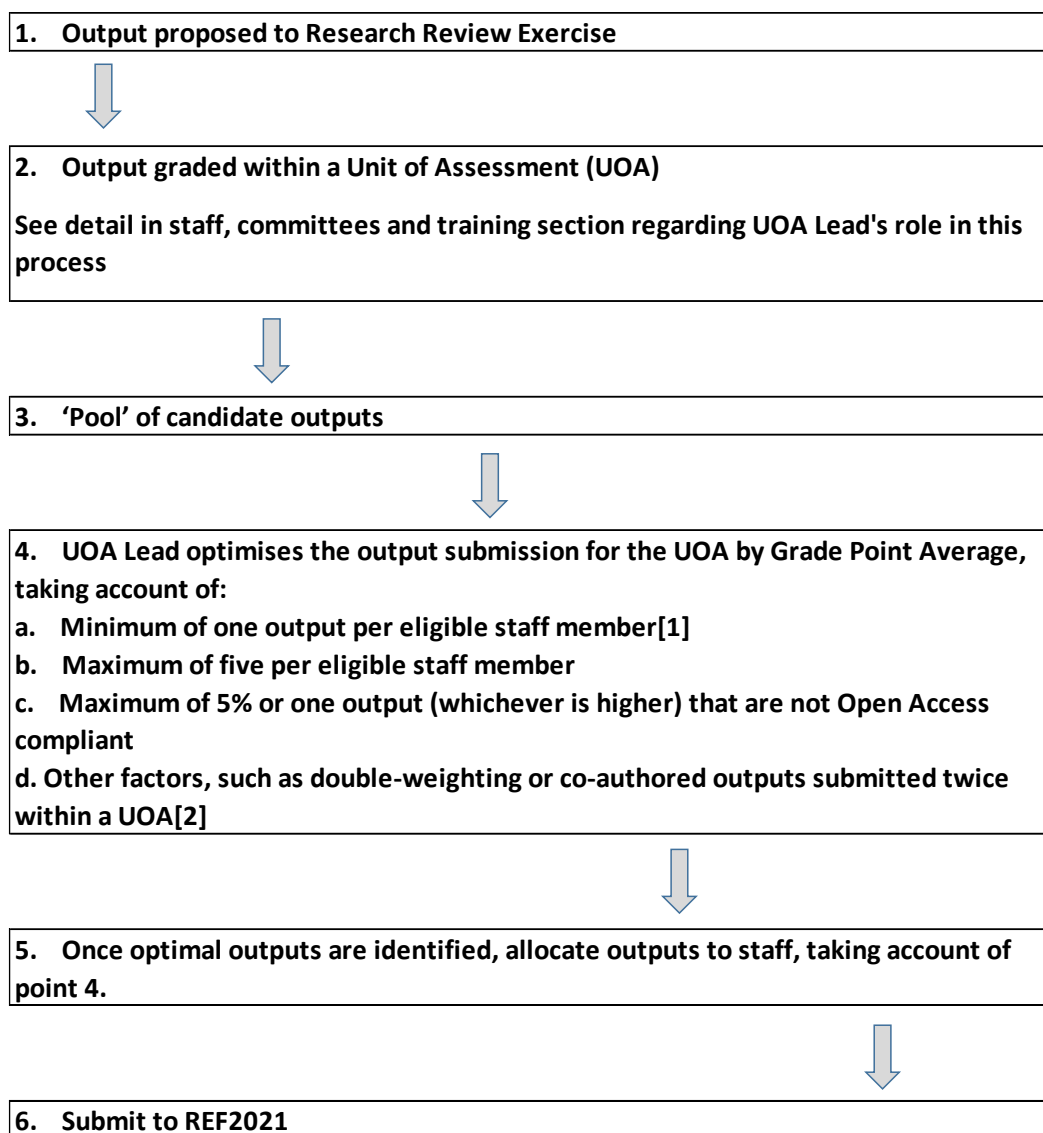
Policies and Procedures

The University's annual Research Review Exercise (RRE) assigns a predicted grade to eligible outputs based on internal peer review. The RRE informs the output selection for the REF2021 submission. Staff can see the predicted grades for their sole and co-authored outputs via the Research Information Management System within their Unit of Assessment. Staff can also request feedback from UOA Coordinators or Directors of Research in their School. This principle of transparency will be maintained throughout the process, and staff will be able to view which of their outputs were included in the REF2021 submission. [Figure 5](#) illustrates the process for selection of outputs for REF2021.

The REF2021 rules partially decouple the link between staff and outputs, and state that an average of 2.5 outputs are required per FTE of current staff submitted, with a minimum of one and maximum of five outputs attributed to an individual⁷. Within these parameters the UOA Coordinators are responsible for ensuring that the best quality outputs are selected for the submission for their unit, in accordance with their role description and the University's equality, diversity and inclusion policy. Part 3 of this Code details the [Equality Impact Assessments](#) that will be embedded in the decision making for selection of outputs by UOA Coordinators.

⁷ In exceptional cases, the average of 2.5 outputs or the minimum of one may be reduced by [Staff Circumstances](#)

Figure 5: Process for the selection of outputs for REF2021



[1] Exceptionally where there are circumstances that prevent this – see section 'Disclosure of circumstances'

[2] These criteria vary across the sub-panels – the full detail can be found in the REF2021 Guidance on Submissions & Panel Criteria and Working Methods

Outputs of former (Category B) Staff

Definition

The REF2021 guidance allows for the submission of outputs from former staff, defined according to the [REF2021 Guidance on Submissions](#):

The introduction of a transitional approach to non-portability of outputs will allow a submitting unit to include the outputs of staff formerly employed as Category A eligible (former staff). Outputs attributable to these staff are eligible for inclusion where the output was first made publicly available while the staff member was employed by the institution as a Category A eligible member of staff. This includes:

- 1. For staff who remain employed at the institution, but are no longer employed as Category A eligible staff on the census date (for example, senior administrative staff), any outputs that were first made publicly available at the point the staff member was employed as Category A eligible.*
- 2. Any outputs first made publicly available while a former staff member was on an unpaid leave of absence or secondment (whether to another UK HEI, or beyond HE/overseas), where the leave or secondment period was no greater than two years.*

Outputs

In most cases, the outputs of former staff will have been identified for consideration by the author when employed at the University. However to ensure the best quality submission, there may be instances where eligible outputs of former staff are identified by Unit of Assessment Coordinators for assessment. These outputs will be subject to the same review process as those proposed by current staff.

In line with the above detail from the 'REF2021 Guidance on Submissions' the outputs of former members of Category A (eligible) staff who left the University during the REF submission period (January 1st 2014 to 31st July 2020) are eligible for inclusion.

The University has committed to the following principles for the outputs of those staff who left during this period because they were made redundant or accepted voluntary severance while (a) holding an open-ended contract or (b) prior to the scheduled date of a fixed-term contract:

1. The sole author of the output

The University will not return the output in the REF2021 submission.

2. A co-author is employed at the University

The output will be considered for inclusion in the REF2021 submission.

In its submission to REF2021, the University will prioritise current staff outputs over former staff outputs where there is no difference in the output quality profile according to our internal grading scale.

The impact of this policy will be assessed by regular Equality Impact Assessments, further detail of which can be found in Part 3, under the heading '[Equality Impact Assessment \(EIA\)](#)'. This will ensure that corrective action can be taken before submission if required.

Staff, committees and training

Please refer to Part 3: Determining Research Independence for the relevant [staff, committees and training](#) in relation to selection of outputs.

Staff Circumstances

The University recognises that in some cases, staff have circumstances that will have affected their ability to research productively over the course the REF2021 assessment period. This section explains the procedures that are in place for staff to voluntarily and confidentially declare these circumstances, how this information will be processed and how it will be used to reflect the impact on the individual and the Unit of Assessment output 'pool'.

How to submit circumstances: Please refer to [Appendix C](#) of this document for the staff circumstances form. This form will be available in September 2019 as a standalone document on the University's REF intranet pages and will be circulated to all Category A (eligible) staff in separate communications. As described above, **submission of this form is entirely voluntary**. The deadline for submission of individual circumstances will be the 31st January 2020, to allow time for review before the Research England deadline in March 2020⁸.

The University will maintain confidentiality and hold this information securely in accordance with the Data Protection Act 2018. The [Staff Individual Circumstances Committee](#) will review the anonymised information. The details contained in the form will only be disclosed to HR where the staff member has opted in to sharing the information.

Where an Individual Circumstance is identified, the staff member can indicate whether they give permission for any tariff reduction agreed by the Staff Individual Circumstances Committee to be passed on to the relevant department/Unit of Assessment. The detail within the form will remain confidential. This will allow expectations on their contribution to the Unit of Assessment's outputs to be adjusted.

The information that is submitted may be used to reduce the number of outputs required where a Unit of Assessment has been disproportionately affected⁹. This will be based on a number of factors, such as the number of outputs available for return in a Unit, the number of outputs required for submission and the reduction in outputs determined from Staff Individual Circumstances submitted. It is expected that the flexibility of submitting staff with between one and five outputs will allow Units of Assessment to submit without a reduction in outputs in most cases. [REF Project Board](#) will make decisions where this may not be the case and will evidence the reasons for this.

While the form in [Appendix C](#) summarises the types of circumstance that can be applied for, the **REF2021 Guidance on Submissions**¹⁰ details these in full:

1. Qualifying as an Early Career Researcher (criteria detailed below in [Table 3](#)).
2. Absence from work due to secondments or career breaks outside the HE sector (criteria detailed below in [Table 4](#)).
3. Qualifying periods of family-related leave.
4. Other circumstances that apply in UOAs 1–6, as defined under the heading 'Junior Clinical Academics' below.

⁸ This deadline is for the University to submit Unit of Assessment requests (to reduce the output 'pool') and requests for a staff member to have their 'minimum of one' output requirement removed.

⁹ See Paragraph 158 of the [Guidance on Submissions](#) for further detail

¹⁰ <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

5. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
- Disability: this is defined in [Appendix B](#) under 'Disability'.
 - Ill health, injury, or mental health conditions.
 - Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out below
 - Other caring responsibilities (such as caring for an elderly or disabled family member).
 - Gender reassignment.
 - Other circumstances relating to the protected characteristics listed in [Appendix B](#) or relating to activities protected by employment legislation.

Table 3: Early career researcher: Permitted reduction in outputs

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

Table 4: Secondments or career breaks: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

Research England has specified the following detailed definitions for staff circumstances, which the University will implement:

Family- related leave

The total output pool may be reduced by 0.5 for each discrete period of:

- Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
- Additional paternity or adoption leave¹¹, or shared parental leave¹² lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

¹¹ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

¹² 'Shared parental leave' refers to leave of up to 50 weeks, which can be shared by parents having a baby or

This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

1. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
2. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to [Table 4](#).

Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 0 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Part-time working

As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5) reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Junior Clinical Academics

In UOAs 1–6¹³, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

This allowance is made on the basis that the clinical staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria as above, and has had significant additional circumstances – for any of the other reasons detailed in this section – the institution can make a case for further reductions as part of the unit reduction request, using the tariffs set out in the sections above as a guide.

Combining Circumstances

adopting a child. This can be taken in blocks, or all in one go.

¹³ At the University of Manchester, this would refer in most (but not all) cases to staff in the Faculty of Biology, Medicine and Health

Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

Where [Table 3](#) is combined with [Table 4](#), the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table 4 should be applied.

When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, a single judgement will be made about the appropriate reduction in outputs by Research England, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above.

Removing the 'minimum of one' requirement

All Category A submitted staff must be returned with a minimum of one output attributed to them in the submission, including staff with individual circumstances. However, where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period (1 January 2014 to 31 July 2020), so that the individual **has not been able to produce an eligible output**, a request may be made for the minimum of one requirement to be removed. Where the request is accepted, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the unit will be reduced by one.

Requests may be made for an individual researcher who has not been able to produce an eligible output where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:

- a. an overall period of 46 months or more absence from research during the assessment period, due to one of more of the circumstances set out above (such as an ECR who has only been employed as an eligible staff member for part of the assessment period)¹⁴
- b. circumstances equivalent to 46 months or more absence from research, where circumstances set out in the list of circumstances above apply (such as mental health issues, caring responsibility, long-term health conditions) or
- c. two or more qualifying periods of family-related leave, as defined above.

Where a request is agreed, one output will be removed from the total output pool required for the submitting unit. This will be in addition to any reduction (of up to 1.5 outputs) applied for that staff member for other circumstances. If the staff member concerned moves institution before or on the

¹⁴ This may include absence from work due to working part-time, where this has had an exceptional effect on ability to work productively throughout the period 1 January 2014 to 31 July 2020, so that the individual has not been able to produce an eligible output. For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) not worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = 30 x 0.4 = 12.

census date, the removal of the minimum of one requirement may be applied by the newly employing institution.

Equality impact assessment (EIA)

The [‘Equality impact assessment \(EIA\)’](#) section in Part 3: Determining research independence details the University’s approach to EIAs.

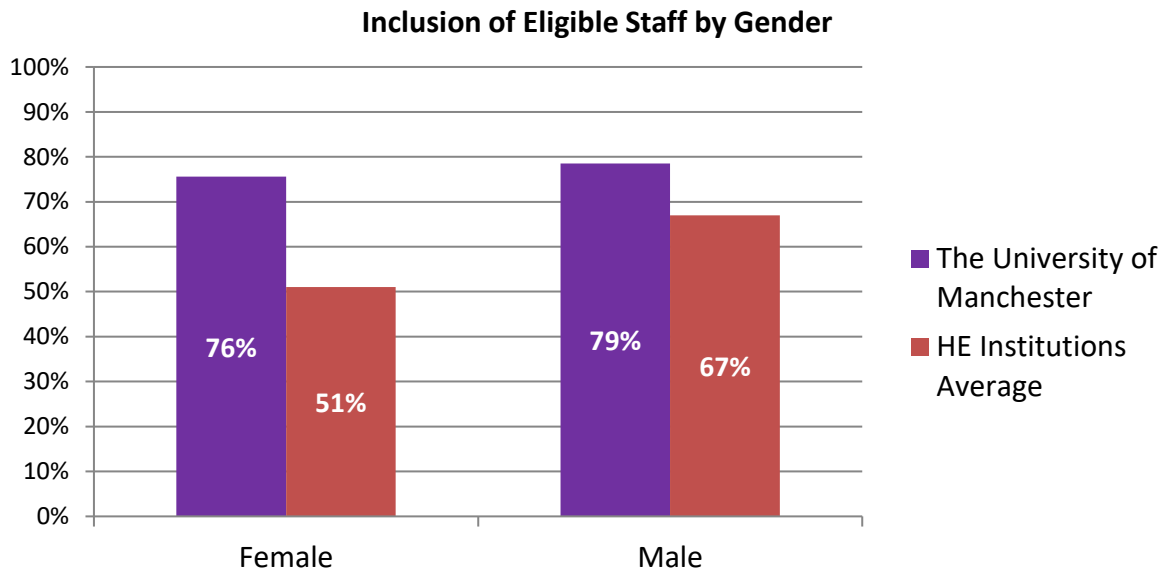
[Table 2](#) displays the timing of EIAs in relation to the spread of outputs across staff. These EIAs will allow action to be taken by UOA Coordinators to inform output selection before submission to REF2021 in November 2020.

Part 5: Appendices

Appendix A: Comparison of the Inclusion of University of Manchester Staff in the REF 2014 with the Sector Average

Gender

There was little significant difference between the inclusion of women and men, both of which were above the sector average.

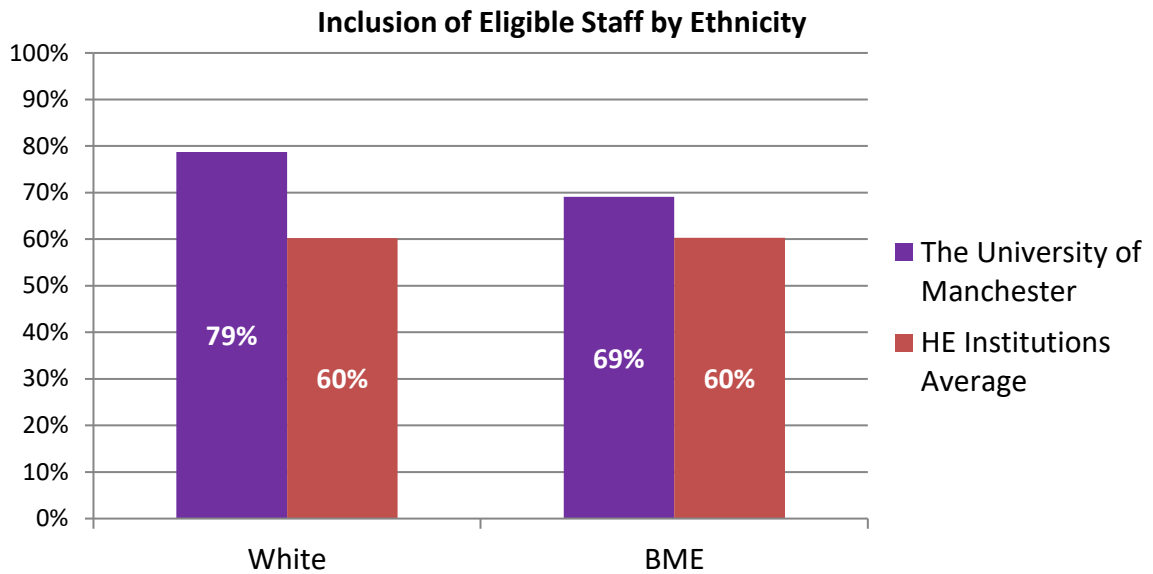


Ethnicity

Within the higher education sector, the average inclusion of both White and BME submissions was 60%. However, within the BME group, Black staff were significantly less likely to be included on a national level than the Asian, Chinese and Other groups. The high inclusion rate of Chinese and Other therefore acted to mask this within the figure of the average for BME.

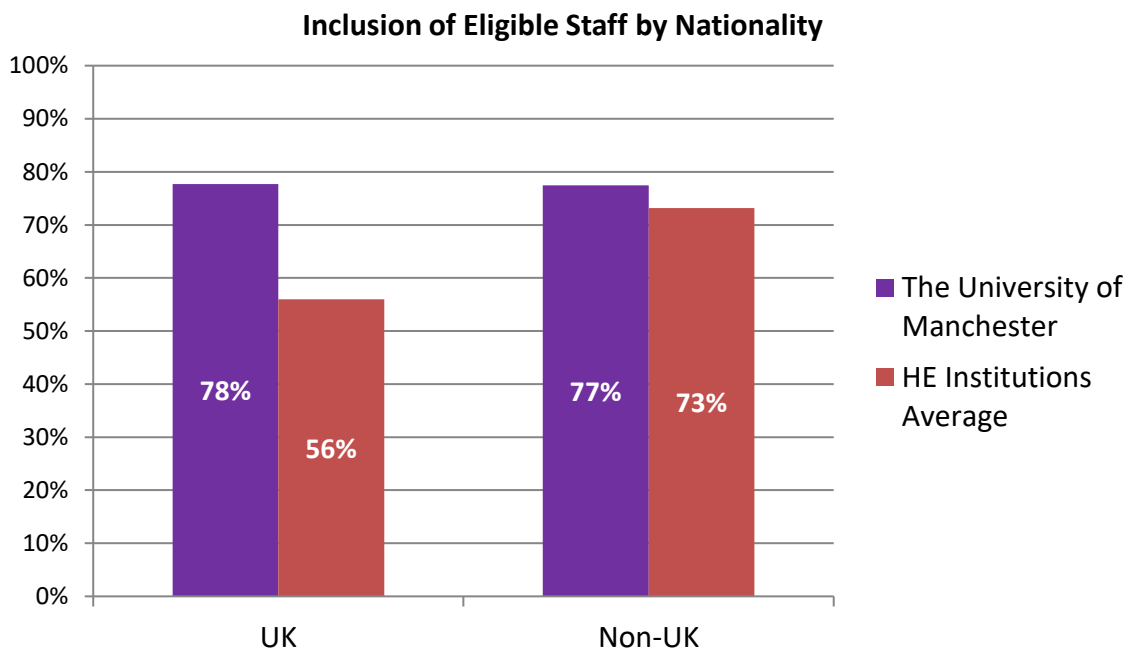
Ethnicity	Included from all HEI	Total from all HEI	Inclusion (%)
White	42,395	70,380	60%
Black	420	1,055	40%
Asian	2,060	3,545	58%
Chinese	1,575	2,300	68%
Other	1,605	2,490	64%
BME	5,660	9,390	60%

Within the University, White staff were more likely to be included in the REF than BME staff. Whilst more of both White and BME staff were included than the sector-average, the difference between the University and this average was greater for White staff (19%) than for BME staff (9%).



Nationality

Within the University, there was no significant difference in those included in the REF based on nationality. The University had more submissions included in the REF from staff of both nationality origins than the sector average. However, it had significantly more included than the average (22%) for the sector for UK nationals whilst only slightly more included than the average for international staff (4%). Given both the research strength of the University and its relatively equal inclusion rates, this is not enough to infer a preferential treatment of UK nationals.



Nationality and Ethnicity

Whilst the sector average of inclusion of White and BME staff from the UK was roughly equal, there were 5% more submissions included from White staff of the University of Manchester than for BME staff in the UK nationals pool.

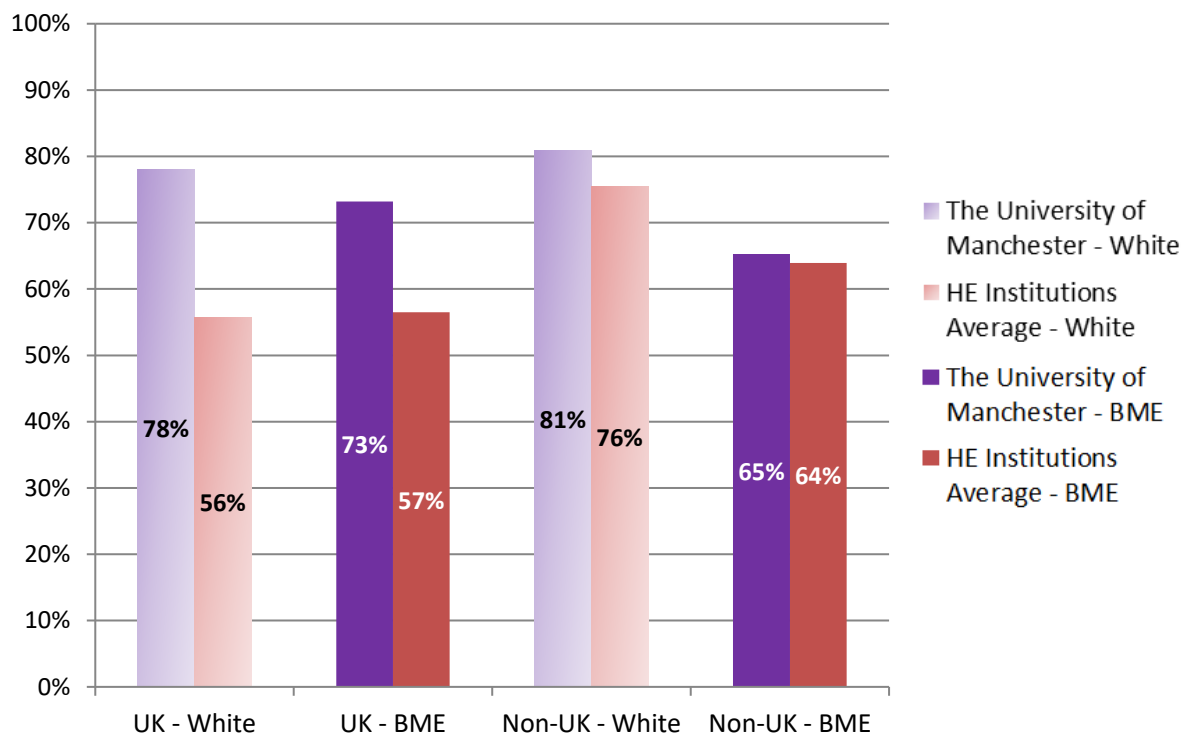
This gap in inclusion was even more significant within the Non-UK staff pool, where the University had 16%

more White international staff included in the REF than BME international staff. This inclusion gap was echoed throughout the sector, where there were on average 12% more Non-UK White staff included in the REF than Non-UK BME staff. Even when the research strength of the University is controlled for, the 4% difference in these gaps suggests that the discrepancy between the inclusion of these groups is greater so in submissions from the University than at the average institution.

Comparing inclusion of research from White nationals with White internationals from Manchester shows little significant difference. This is contrasted with the inclusion of research from BME nationals with BME internationals –there was 8% more research included from BME nationals at the University than BME internationals. The opposite is true of the sector, where 7% more research was included from BME internationals than BME nationals.

In comparison with the sector, more research from White and BME nationals was included than the sector average (22% and 16% respectively), however this can be attributed to the attraction of a high-standard of UK researchers to working at the University. For international staff, there were smaller differences in inclusion rates based on ethnicity – 5% more research was included from White Non-UK staff at the University compared to the average, and 1% more research was included from BME Non-UK staff compared to the average.

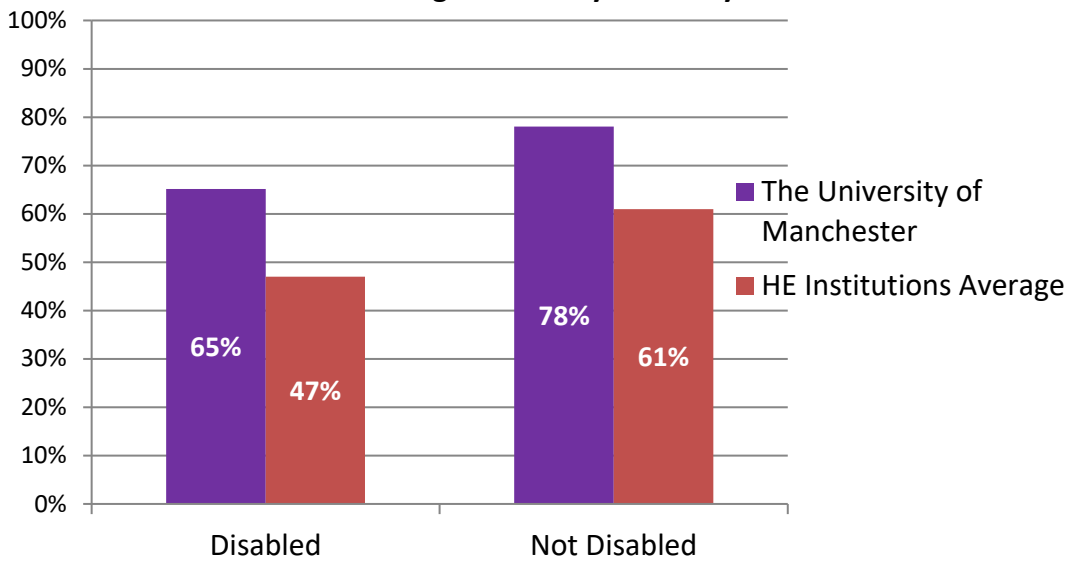
Inclusion of Eligible Staff by Nationality and Ethnicity



Disability Status

There was 18% more research submitted by people with disabilities at the University included in the REF than the sector average for people with disabilities. This is similar to the difference in inclusion of people without disabilities at the University with the sector average (17%). There was still, however, 13% more research included from people without disabilities than from those with, and this is similar in size to the sector-wide difference of 14% greater inclusion of those without disabilities to those with.

Inclusion of Eligible Staff by Disability Status

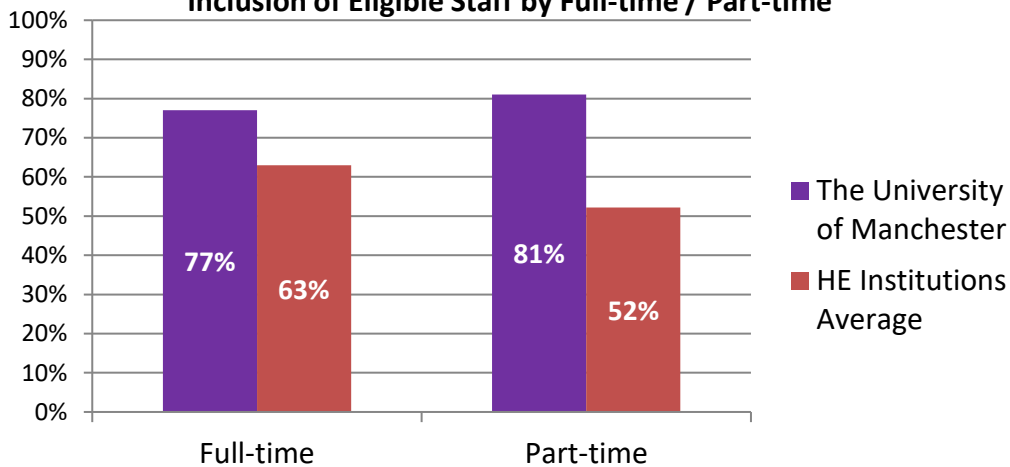


Full-time / Part-time Status

There was little statistically significant difference between inclusion rates of research from the University between full time and part time staff. This is in contrast to the sector, where 11% more research was included from full time staff than part time staff.

There was 14% more research from full time members of staff at the University included than the sector average, and a sizeable 29% greater inclusion of part time staff research than the sector average.

Inclusion of Eligible Staff by Full-time / Part-time



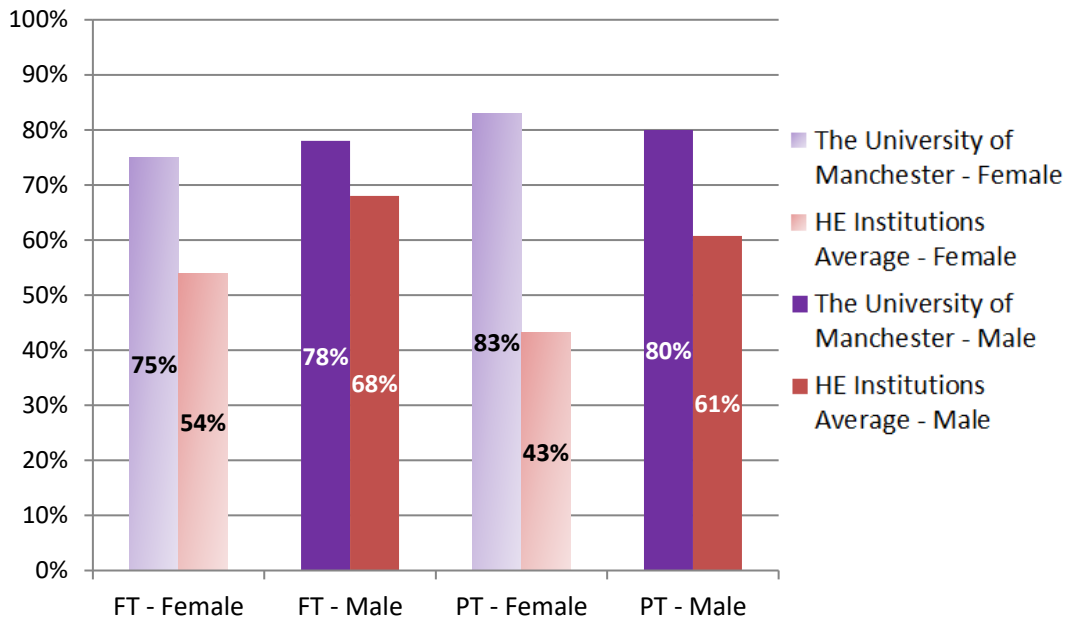
Full-time / Part-time and Gender

In terms of research from University staff, differentiating full time staff by gender and part time staff by gender does not expose any significant differences in inclusion. Within the sector, however, there are significant gaps where 14% more full time male staff were included than full time female, and 18% more part time male staff were included than part time female.

For research submitted by females, 21% more research from full time female staff at the University was included than the sector average, and 40% more research was included from part time female staff was included than the sector.

For that submitted by males the differences were smaller, with full time submissions included 10% more than the sector and with part time submissions included 19% more than the sector.

Inclusion of Eligible Staff by Full-time / Part-time and Gender



Appendix B: Summary of equality legislation (original located in REF2021 Guidance on Codes of Practice)

<p>Age</p>	<p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months. Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer

	<ul style="list-style-type: none"> • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
Gender reassignment	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent. Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195. HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and</p>

	<p>treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p>

	<p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay.</p> <p>Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
Sexual orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>
Welsh language	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 284 and 285.</p>

Appendix C: Declaration of Individual Staff Circumstances template

The process of declaration of individual staff circumstances will be developed from the information and processes described below. The template proposed is a draft version and the final version communicated to staff may differ slightly.

Declaration of Individual Staff Circumstances Template

This template and associated Code of Practice, is being sent to all academic staff whose outputs may be eligible for submission to REF2021. The Code of Practice describes in detail the University's approach to submitting staff and outputs to REF2021.

Staff Circumstances

The University recognises that in some cases, you will have had individual circumstances that will have affected your ability to undertake research during the REF2021 assessment period (1 January 2014 to 31 December 2020). Please complete this template if you wish to notify the University of these circumstances.

Purpose of collecting individual circumstances information

Where an individual has not been able to produce an output over the REF period and meets the qualifying circumstances, the Unit of Assessment (UOA) will request the minimum of one output is removed for that individual, with a reduction of one to the output pool.

The information that is submitted for other individual circumstances may be used to reduce the number of outputs required by a UOA where that UOA has been disproportionately affected¹⁵, and this request will be made to REF2021. This will be based on a number of factors, such as the number of outputs available for return in a UOA and the reduction in outputs determined from Staff Individual Circumstances submitted. It is expected that in most cases, the flexibility of submitting staff with between one and five outputs in REF2021 will allow UOAs to submit without requesting a reduction in outputs to the total pool. REF Project Board¹⁶ will make decisions where this may not be the case and will evidence the reasons for this.

Submission of this template is entirely voluntary - the deadline for submission of individual circumstances is 31 January 2020.

This template is the only means by which the University will be gathering this information; the University will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring confidentiality

The University will maintain confidentiality and hold this information securely in accordance with the Data Protection Act 2018. The Staff Individual Circumstances Committee will review the information. The full terms of reference and membership of this committee can be found in Part Three of the University's REF2021 Code of Practice.

If the institution decides to apply to the funding bodies for either type of reduction in outputs

¹⁵ See Paragraph 158 of the [Guidance on Submissions](#) for further detail

¹⁶ Membership detailed in The University of Manchester's REF2021 Code of Practice, Part Three

(removal of 'minimum of one' requirement or a reduction to the UOA output pool), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the ['Guidance on submissions'](#) document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Submitted data will be kept confidential to the Research England REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The Research England REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

Changes in circumstances

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact their HR partner to provide the updated information.

REF2021 rules for background information:

- The total number of outputs returned from each submitting UOA must be equal to 2.5 times the combined FTE of Category A submitted staff included in the submission
- A minimum of one output will be required for each Category A submitted staff member, up to a maximum of five outputs per individual submitted
- If an individual has had circumstances where they have not been able to produce the required minimum of one output over the REF period, a request may be made for this requirement to be removed. Where the request is accepted, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the UOA will be reduced by one. The following circumstances apply:
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
 - two or more qualifying periods of family-related leave.
- UOAs may request a reduction in the number of outputs submitted to the pool if the cumulative effect of circumstances has disproportionately affected the unit's potential output pool. A table of the permitted reduction in outputs to the pool for qualifying circumstances is given in the University's Code of Practice document.

Applicable circumstances are:

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

To submit this form you should complete this section and send it to the confidential submission system when available (Autumn 2019).

Name: [Click here to insert text.](#)

Department: [Click here to insert text.](#)

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

Yes

No

Please complete this form if you have one or more applicable equality-related circumstance (see above) which you are willing to declare. Please provide requested information in relevant box(es).

Circumstance	Time period affected
<p>Early Career Researcher¹⁷ (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	<p>Tick here <input type="checkbox"/></p>
<p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

¹⁷ As defined in Paragraphs 148 and 149 of the [REF2021 Guidance on Submissions](#)

<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the University's REF2021 Staff Individual Circumstances Committee¹⁸
- I realise it may be necessary for the University to share the information with the Research England REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs for verification and audit. All of these individuals are subject to confidentiality undertakings in respect of all information contained in submissions.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I would like a HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

¹⁸ Committee details contained in The University's Code of Practice document, under REF Governance

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

I give my permission for any tariff reduction agreed by the University's REF2021 Staff Individual Circumstances Committee to be passed on to the relevant department/Unit of Assessment.
(Please note that the detail of this form will remain confidential, only the fact that there is a tariff reduction will be communicated)