

Research and Knowledge Exchange

# MANCHESTER METROPOLITAN UNIVERSITY

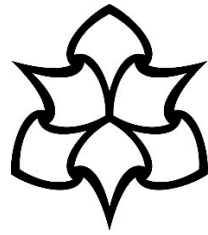
Code of Practice for the Research  
Excellence Framework 2021 (REF 2021)

October 2020



Manchester  
Metropolitan  
University





**Manchester  
Metropolitan  
University**

**RESEARCH EXCELLENCE FRAMEWORK 2021 (REF 2021)**

**CODE OF PRACTICE**

**June 2019 (revised October 2020)**

## **MANCHESTER METROPOLITAN UNIVERSITY**

### **REF 2021 CODE OF PRACTICE**

#### **Part 1: Introduction**

1. The University's strategic plan was agreed and implemented in 2016. One of our priorities is to strengthen our research and knowledge exchange focusing in areas where we have, or can readily develop, strength and critical mass.
2. A new Research and Knowledge Exchange (RKE) Strategy was developed through a consultative process in 2016 and approved at University Executive Group, Academic Board and Board of Governors at the beginning of 2017.
3. The purpose of the new RKE Strategy is to enhance the quality and the intellectual and financial sustainability of research at the University.
4. To achieve the aims of our RKE Strategy, significant institutional investment of time and resource has been focussed on University Centres for Research and Knowledge Exchange (UCRKEs) and University Groups for Research and Knowledge Exchange (UGRKEs).
5. At the same time as introducing the RKE Strategy, the University introduced a new Education Strategy which, amongst other things, promotes parity of esteem and career progression for colleagues whose focus is on teaching excellence and innovation. We are also in the process of developing a structure for academic career pathways to recognise the full range of contributions that colleagues make through both teaching and research.

#### **REF 2021 Code of Practice**

6. This Code of Practice (CoP) covers important aspects of our submission to the Research Excellence Framework (REF) 2021: the definition of staff with significant responsibility for research; the definition of an independent researcher; the process for the selection of research outputs to include in the submission; and approaches to supporting staff with circumstances that have impacted upon their ability to produce research.
7. The CoP complements existing equality and diversity policies in the University. It does not override our existing commitments set out in the University's Equality and Diversity Policy and the Equality and Diversity Strategy.

#### **Principles**

8. This CoP is underpinned by the following principles:

##### **a) Transparency**

The University recognises the need to ensure transparency in all of the processes associated with making our REF 2021 submission. We have strived to make consultation processes transparent and will ensure that all information related to the development of the CoP and our REF 2021

submission is published on the University's intranet. We have ensured that all staff, including those who are absent from work, have been informed about the consultation process by writing to them at home as well as publishing information on our website and weekly staff email.

### **b) Consistency**

It is important for the CoP to establish clear principles that can be applied across the University as well as to ensure consistency of effective communication with staff. It is important that all individuals and committees with a responsibility for making recommendations and decisions in relation to our REF 2021 submission act in an appropriate and consistent manner.

### **c) Accountability**

Final decisions on all aspects of our REF submission will be taken by our REF Executive. These decisions will be made in the light of recommendations received from RKE Committee, Faculty Executive subgroups, Unit of Assessment Coordination Groups, the requirements of the CoP, and in accordance with the University's RKE Strategy.

### **d) Inclusivity**

Final decisions about the University's submission to REF 2021 will be directed by this CoP, which has been the subject of consultation with all academic staff and approved by the University's Academic Board. Decision makers are mindful of, and informed by, equality and diversity legislation (Appendix 1). Processes are designed to promote an inclusive research environment.

## **Learning from the REF 2014 Equality Impact Assessment (EIA)**

9. This CoP is intended to enhance efforts taken since REF 2014 to ensure that equality and diversity is a critical part of the RKE landscape at the University.
10. An Equality Impact Assessment (EIA) conducted after REF 2014 found that the proportion of female staff submitted to the exercise was lower than our overall staffing base by gender (44% of our REF 2014 submission was female against a total eligible population of 52%). Other protected characteristics of staff returned to REF 2014 were in line with our overall staffing population.
11. As a result of the REF 2014 EIA, we committed to ensuring that staff were fully aware of issues around individual circumstances and how they might apply in future REF assessments, and that we would roll-out a series of targeted actions to encourage women to engage in research.
12. Since then we have taken specific actions to improve equality and diversity in our research activities including:
  - Ensuring that equality and diversity is included as a standing item on the University RKE Committee.
  - The achievement of Athena SWAN Bronze through a comprehensive self assessment and action planning process.



- The establishment of specific workshops to support females seeking promotion as part of our annual internal call for Professors and Readers.
- The development of an RKE Future Leaders programme.
- The establishment of research mentoring schemes.

### **The process for creating the REF 2021 Code of Practice**

13. This CoP has been drafted by colleagues in in the Human Resources (HR) Directorate (Assistant Director of Human Resources, Head of Equality and Diversity); the RKE Directorate (Head of Research Environment and Impact) and the Pro-Vice-Chancellor for RKE.
14. The process of engaging with staff to help the drafting of this CoP has been transparent and inclusive and all staff have been given an opportunity to provide their views.
15. In summary we have taken the following steps to engage with staff:
  - Letters about the development of the CoP have been sent to the home address of all academics to ensure that anybody who is absent from work is kept informed.
  - A prominent banner item was featured on the University's intranet with information on our dedicated REF 2021 intranet pages.
  - Links to the intranet information were circulated to all members of the University's Equality and Diversity fora.
  - Internal emails were circulated by Directors of Faculty RKE and Heads of UCRKEs.
  - Features were included in appropriate Faculty newsletters.
  - A series of well attended face-to-face engagement workshops took place at accessible locations across the University.
  - The draft CoP was circulated and discussed at:
    - RKE Committee.
    - University Forum of Research Centre Heads.
    - University Executive Group.
    - University Diversity and Equality Committee.
    - Academic Board.
  - Meetings were held with representatives of the University and College Union (UCU).
  - Comments have been taken throughout the engagement process via a dedicated email [ref2021@mmu.ac.uk](mailto:ref2021@mmu.ac.uk) mailbox.
16. Once the CoP has been approved by Research England, we will inform all members of staff and make it publically available on our website.

### **Adherence to the Code of Practice**

17. We have created a CoP that can be applied consistently across the University's five faculties. Whilst there can be a degree of autonomy around many aspects of the management of resources we now expect all areas

across the University to use this CoP to direct all activities relating to REF 2021 preparation.

18. For the avoidance of doubt we expect all colleagues to adhere to the University's REF 2021 CoP and our responsibilities around equality and diversity legislation from the "effective date" of 7th June 2019.
19. Any significant deviation from the CoP after the effective date will be investigated by an independent appeals panel and in the event of an investigation being upheld, appropriate steps will be taken to ensure that the University fulfils its obligations.
20. If an investigation finds that there has been deliberate deviation from the CoP by an individual or group of staff members then disciplinary action according to the academic misconduct policy may be considered appropriate.

### **Roles and responsibilities in relation to the REF 2021 Code of Practice**

21. A range of staff will participate in discussions that contribute to the University's submission to REF 2021. Full details are included below.
22. All staff, including designated members of staff appointed to perform recommendation and decision-making functions in relation to REF 2021 will act according to the University's Equality And Diversity Policy and the principles set out in this CoP.
23. All staff involved in REF 2021 recommendation and decision-making functions will be supported in carrying out their responsibilities through mandatory training including:
  - Equal Opportunities online training course.
  - Managing Diversity online training course.
  - Unconscious Bias and REF 2021 training course delivered face-to-face or remotely where face-to-face delivery has not been possible due to Covid-19.
24. Training will be overseen by the University's Equality and Diversity team from Human Resources. Training of all staff involved in REF 2021 processes will take place as soon as practically possible to enable staff to participate in recommendation and decision-making processes.
25. The University's REF 2021 Governance Structure is summarised in Table 1.

<b>Committee</b>	<b>Purpose</b>	<b>Chair</b>	<b>Membership</b>
<b>REF Executive</b>	Approval of final submission to REF 2021	VC	Deputy Vice-Chancellor and Provost
	Ensuring obligations in CoP are met		PVC RKE
	Feedback on draft submissions		Head of Research Environment & Impact
<b>RKE Committee</b>	Implementation of the University's RKE Strategy	PVC RKE	Director RKE Faculty Heads RKE



	Managing membership of UCRKEs & UGRKEs		UCRKE Forum rep
	Engaging with Faculty REF Committees		ECR / PGR rep
	Internal communication		Director RKE
	REF timetabling & planning		Head of Research Environment & Impact
	Ensuring consistency of processes		Head of Business Engagement
	Institutional Environment narrative		Head of Research Devt. & Delivery
	UoA selection		Head of Graduate School
<b>Faculty Executive Subgroups</b>	Identifying staff with significant responsibility for research	Faculty PVC or nominated Designate (e.g. Deputy PVC)	At the discretion of the Faculty PVC to determine but should include:
	Managing workload allocations & expectations of staff		Heads of Department
			UCRKE Head(s) by invitation.
			UGRKE Head(s) by invitation.
<b>UoA Coordination Group</b>	Peer review of outputs	UOA Coordinator	Faculty Head(s) RKE
	Environment narratives & impact case studies		UCRKE Head(s)
	Adherence to the institutional timeline		UGRKE Head(s)
			Staff responsible for preparing aspects of the submission
<b>Independent Appeals Panel</b>	Overseeing appeals process	Manchester Metropolitan University Senior Officer	Representative from E & D department within HR
	Hearing appeals from staff around significant responsibility for research; research independence; individual circumstances; implementation of CoP		
<b>Individual Circumstances Panel</b>	Overseeing individual circumstances process	Director HR	Assistant Director HR Equality and Diversity Manager Independent academic member

Table 1: Manchester Metropolitan REF 2021 Governance Structure

26. The Governance structure shows all committees associated with making decisions and recommendations around REF 2021. The University's Executive Group (UEG), Academic Board and the Board of Governors will receive reports and updates on a regular basis from the committees associated with REF preparation.

### REF Executive

27. The REF Executive Group is responsible for:

- Approval of all aspects of the University's final submission to REF 2021.
- Ensuring that the University's obligations in relation to the Code of Practice and equality and diversity are carried out in full.

- Identifying strengths and weaknesses in draft REF submissions and providing guidance and mentoring to improve quality.

### **Research and Knowledge Exchange Committee (RKEC)**

28. For REF 2021 purposes, RKEC is responsible for:

- Implementation of the 2016/17 RKE Strategy.
- The management of membership of UCRKEs and UGRKEs.
- Adherence to the University's CoP and our obligations with respect to equality and diversity.
- Selection of Units of Assessment.
- Ensuring that information relevant to REF is disseminated to relevant staff.
- Developing an institutional REF timeline and monitoring progress.
- Ensuring that processes are consistent, fair and transparent.
- Producing the institutional REF Environment narrative.
- Ensuring that the University remains informed of REF guidance and criteria.

### **Faculty Executive Subgroups**

29. Faculty Executive Subgroups are responsible for:

- Managing workload allocations and the performance expectations for individual staff.
- Using the above, REF guidance, and information on UCRKE and UGRKE membership to identify staff who have a significant responsibility for research and making recommendations to the REF Executive.

### **Unit of Assessment Coordination Groups**

30. UoA Coordination group are responsible for:

- Ensuring that outputs are peer reviewed and rated accordingly.
- Making recommendations on output selection to Research and Knowledge Exchange Committee and the REF Executive.
- Drafting narrative elements of the submission including environment narratives and impact case studies.
- Adhering to the University's CoP and our obligations in respect of equality and diversity.
- Adhering to the institutional timeline.
- Communicating with relevant staff locally.

### **Independent Appeals Panel**

31. An independent appeals panel will be convened for the duration of REF 2021 preparations with specific responsibility for:

- Overseeing a fair, transparent, inclusive, timely and consistent process around appeals.
- Hearing appeals from staff on:



- The identification of a significant responsibility for research.
- The identification of research independence.
- Judgments related to individual circumstances.
- Non-adherence to the University's CoP.
- Informing the REF Executive, Research and Knowledge Exchange Committee and UoA Coordination Groups of the outcome of these appeals where appropriate.

32. The appeals process is set out in full in part 6 below.

### **Individual Circumstances Panel**

33. For REF 2021 purposes the University will convene an Individual Circumstances panel with responsibility for:

- Overseeing a fair, transparent, inclusive and consistent process for handling requests for a reduction in output expectations in relation to individual circumstances.
- Communicating the outcome (not the circumstances) of these decisions to staff who are responsible for making recommendations around the selection of outputs.

### **Part 2: Identifying staff with significant responsibility for research**

34. For the purposes of REF 2021 we regard staff with significant responsibility for research as:

Members of University Centres and University Groups for Research and Knowledge Exchange; who are expected to:

- Engage in research (as distinct from Knowledge Exchange activities); and
- Have a significant (at least 20%) research allocation of time in their workloads to do so.

35. The principles around this approach are embedded in the University RKE Strategy which was approved following widespread consultation by the University's Board of Governors in February 2017.

36. The key feature of the RKE Strategy is the creation of University Centres for Research and Knowledge Exchange (UCRKEs) to act as the focus of the University's strategic investment in, and support for, research and knowledge exchange activities. The approach and functioning of these UCRKEs are directed by the UCRKE Charter which was itself developed through an extensive consultative process with experienced research-active staff across the University.

37. The UCRKEs were created in December 2017 following an open application process. The criteria were developed from the contents of the Charter referred to above, and the process was implemented by the University RKE Committee and approved by the University Executive Group.

38. After considering the applications it was appreciated that there were a number of smaller areas that did not yet satisfy the UCRKE Charter criterion for critical mass but had the potential to grow or to refocus to enable them to be absorbed into UCRKEs. These were therefore configured as University RKE Groups (UGRKEs) with the intention that they would either develop into new UCRKEs or the work would be absorbed into existing UCRKEs. The full range of UCRKEs and UGRKEs are shown in Figure 1.

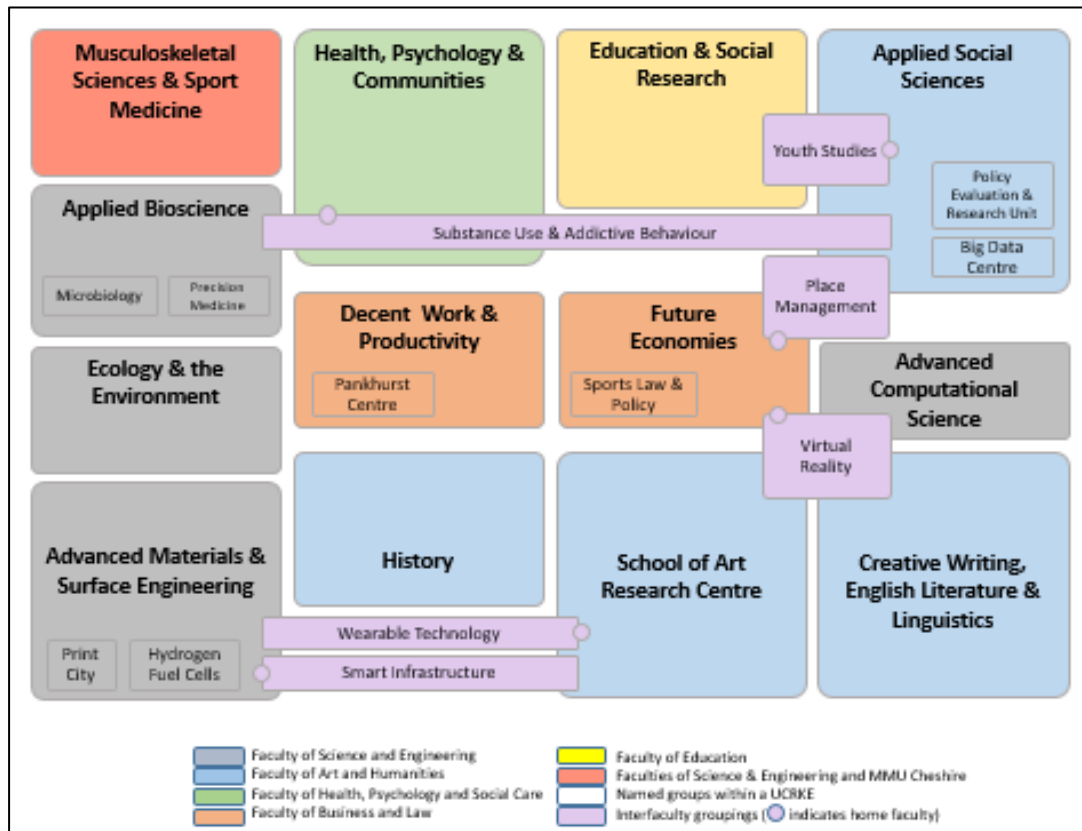


Figure 1: University Centres for Research and Knowledge Exchanges and University Groups for Research and Knowledge Exchange

39. UCRKEs and UGRKEs are recognised and accepted as the strategic focus of the University's research investment. Each UCRKE has a comprehensive 5-year business plan developed with the assistance of the University's RKE Directorate. UCRKEs have a defined membership, an international external advisory board, a website, and an automatic annual development stipend. All are eligible for research project funding through our Strategic Opportunities Fund (SOF) and they are the focus for new research and research-focused academic appointments into the University.

### Membership of University Centres for Research and Knowledge Exchange

40. Membership categories of UCRKEs according to the RKE Strategy include (i) full members (ii) associate members and (iii) impact champions.

#### Full members



41. There is an expectation that full members of UCRKEs and UGRKEs engage in research unless their focus is on knowledge exchange (see impact champions below). Full members of UCRKEs and UGRKEs are given the time and resources to carry out research. As such we regard these staff as having a significant responsibility for research.
42. Full membership of a UCRKE offers individual staff the opportunity to be part of a research-rich environment with a clear intellectual purpose, a mature approach to staff development including the assignment of a mentor, access to specific institutional investment for RKE activities including internal strategic funds, the use of RKE systems and support from the central RKE Directorate.
43. The University has never had a single workload model, accepting variations between faculties because of the very diverse range of disciplines they cover however full members should have a substantial amount of their workload (at least 20%) allocated to research.
44. There is an expectation that full members of UCRKEs are the driving force behind achieving the University's research and knowledge exchange ambitions and they are expected to produce high-quality outputs, achieve research income targets, supervise PhDs, engage with activities relating to impact and produce individual 5-year research plans. Performance around these expectations is measured by Heads of Department in consultation with Faculty Heads of RKE.

### **Associate members**

45. Associate members are typically from a professional services or practitioner background and have little or no experience of independent research. As such these staff are expected to engage in structured research training and development activities that are linked to a UCRKE that they might join in the future. This is not the same as an expectation to engage in research. We therefore do not regard associate membership as synonymous with having a significant responsibility for research.

### **Impact champions**

46. Impact champions are staff who conduct knowledge exchange activities that contribute to the development of wider impacts beyond academia. They are typically adept at winning external income and make an important contribution to the activities of our University Centres for Research and Knowledge Exchange but there is no expectation that impact champions produce their own excellent research.

### **Staff who sit outside UCRKEs and UGRKEs with workload nominally designated for research**

47. Where staff are not UCRKE or UGRKE members but have retained a workload allocation of up to 20% that is nominally designated for research, this is largely for historical reasons, and generally covers a much broader range of scholarly activities that would be described more accurately as

professional practice, keeping up-to-date with their disciplines, pedagogic developments, and graduate student supervision. There is no expectation on these staff to produce excellent research in the way that is expected of UCRKE members, and they are not provided with material resources to support research. As such, we do not regard these staff as having a significant responsibility for research and will seek to agree this with the individuals concerned through appraisal and career development discussions.

### Statement on part-time and fixed-term staff

48. The University's commitment to the principles of transparency, consistency and inclusivity extends to all part-time and fixed-term staff who are eligible to be identified as having a significant responsibility for research and research independence in the same way as full-time permanent members of staff.

### Processes for identifying staff with a significant responsibility for research

49. The process for identifying staff to be included in the REF submission is summarised in Figure 2.

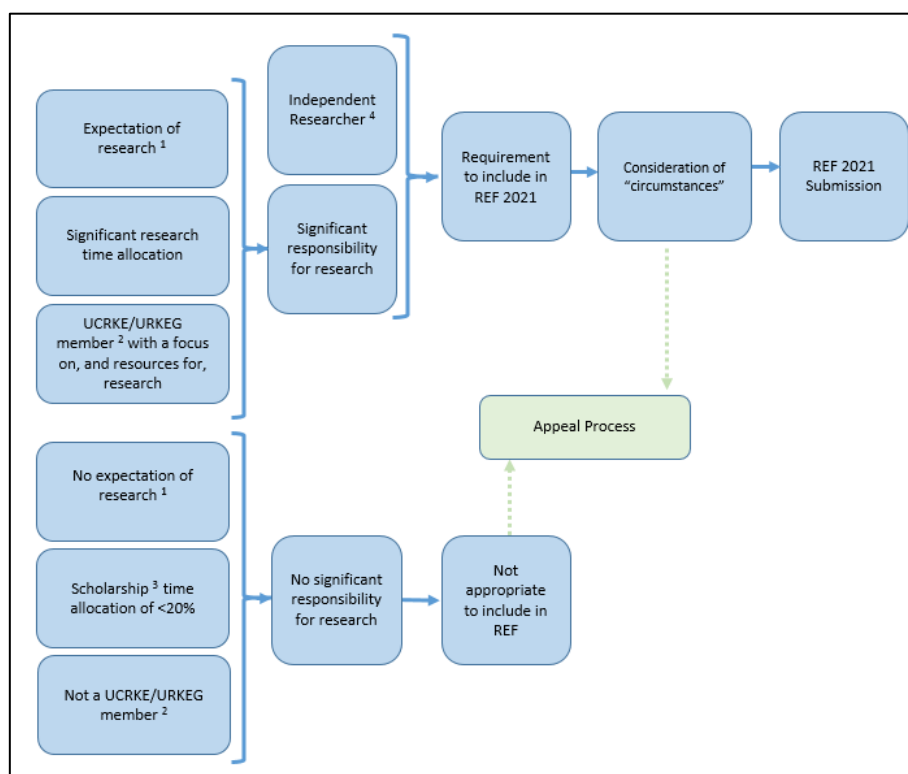


Figure 2: Flowchart to summarise process of identifying significant responsibility for research for REF2021

1. This refers to an active requirement expressed, for example, through PDRs, five-year research planning and/or career pathway discussions. It does not relate directly to employment contracts. For a full definition of what is considered to be research in the REF go to: [www.ref.ac.uk](http://www.ref.ac.uk)
2. UCRKE structure and membership are managed by the University RKE Committee in accordance with the University's 2016/17 RKE Strategy. There is a membership appeal mechanism that includes independent assessment (via HR) of the impact that special circumstances may have had on the volume of academic outputs produced.
3. This is a Manchester Metropolitan University definition of scholarship and includes professional practice, aspects of pedagogy and teaching preparation.
4. Using the definitions provided by Research England.

50. The membership of UCRKEs and UGRKEs was identified originally in 2017 as part of a rigorous planning process tied to the creation of 5-year plans for our UCRKEs. As part of this process Faculty Heads of RKE and UCRKE Directors identified the staff that they considered to be “in scope” for full membership of UCRKEs.
51. The University’s RKE Committee ratified initial decisions on membership of UCRKEs. These decisions were communicated to staff through UCRKE Leadership teams when the UCRKEs were created.
52. The RKE Committee has subsequently maintained oversight of UCRKE membership.
53. For REF 2021 purposes the RKE Committee will liaise with Faculty Executive Subgroups (chaired by Faculty PVCs and attended by Heads of Department) to confirm the final list of UCRKE and UGRKE staff who have a significant responsibility for research. This is an important step in the process because Faculty PVCs and Heads of Department are responsible for the management of staff including expectations around performance, workload allocation and professional development and because academic titles such as Reader or Professor do not automatically confer or imply significant responsibility for research.
54. The list of staff who have a significant responsibility for research will be reported to the next meeting of the University’s REF Steering Group that takes place after the July 2020 census date.
55. Following agreement of the final list of UCRKE and UGRKE members at the REF Steering Group individual staff will be informed of whether they do or do not have a significant responsibility for research in writing and a process for appeals in relation to REF submission will take place in October and November 2020 (see the section on appeals later on in this document).
56. Both the RKE Strategy and our proposed method to identify staff with a significant responsibility for research have been equality impact assessed. Full details are available in the relevant section below.

### **Agreement of processes for identifying staff with a significant responsibility for research**

57. The proposal to use membership of UCRKEs as a significant aspect of our identification of staff with significant responsibility for research has been discussed extensively in relevant committees throughout the REF 2021 consultation process led by Research England.
58. Our formal consultation into the CoP and the definition of a significant responsibility for research launched when the final guidance was released in February 2019.

59. The consultation was conducted in two parts. A pre-consultation phase invited general comments from all staff on the guidance from the funders before a second consultation phase was conducted around the draft CoP.
60. The consultation consisted of:
- Letters sent to the home address of all academics.
  - Features on the University's staff intranet with information on a dedicated REF 2021 page.
  - Links to the intranet information circulated to all members of the University's Equality and Diversity fora.
  - Emails circulated by Faculty Heads of RKE and Heads of UCRKEs.
  - Features in Faculty electronic newsletters.
  - A series of four open workshops available to all staff which took place at accessible locations across the University.
  - Meetings with HR business partners.
  - Discussion at:
    - RKE Committee.
    - University Forum of Research Centre Heads.
    - University Executive Group.
    - University Diversity and Equality Committee.
    - Academic Board.
  - Meetings with branch officers of the University and College Union (UCU).
  - Comments have been taken throughout the engagement process via a dedicated email [ref2021@mmu.ac.uk](mailto:ref2021@mmu.ac.uk) mailbox.
61. The CoP, including the process for identifying staff with "significant responsibility for research", was agreed by the University's Diversity and Equal Opportunities Committee (DEOC) on 2<sup>nd</sup> May 2019 (Appendix 2). Agreement was reached following extensive consultation with all staff and detailed and positive discussions with branch officers of the University and College Union (UCU). DEOC's terms of reference (Appendix 2) include an expectation that it will "engage with academic and related issues as well as employment issues", "influence internal policies and practices", "organise and co-ordinate consultation on diversity and equal opportunities through the Equality Fora and through external consultation". The members of DEOC include representatives from all of the campus trade unions (including UCU), representatives from each faculty and the co-chairs of our equality fora on disability, gender, LGBT+ and race.
62. The CoP, including the process for identifying staff with "significant responsibility for research" was also agreed by our Academic Board on the 20<sup>th</sup> of May 2019 (Appendix 3). Academic Board is the University's most senior committee for advising on academic matters, including the approval of Institutional Codes of Practice. Membership of Academic Board includes elected staff representatives, student representatives and senior officers (see Appendix 3). The minutes from the University's Academic Board note "the clarity of the CoP, its alignment to Research England guidance, its



commitment to equality and diversity and the extensive consultation process which has taken place.” In light of the agreements described in Section 61 and Section 62 of this CoP, the Head of the Institution has confirmed, in the letter contained in Appendix 4, that he considers that this CoP and the process for identifying staff with significant responsibility for research, has been agreed through appropriate staff representative mechanisms.

63. All staff will be notified of the creation of the final CoP and the full version of the CoP will be available on our public facing website as well as on our dedicated REF 2021 intranet pages.

### **Part 3: Determining Research Independence**

64. The University will seek to fully apply the REF guidance when determining research independence.
65. This means that staff on research-only contracts will need to be able to demonstrate independence based on the REF criteria to be considered eligible for submission.
66. Research assistants, postdoctoral research assistants, research associates or senior research assistants and associates will not be considered eligible for submission because they are usually employed to carry out another individual's research programme.
67. In exceptional circumstances, a “research only” member of staff may be considered to have research independence, but they must meet at least one of the following indicators:
  - Leading or acting as principal investigator or equivalent on an externally funded research project.
  - Holding an independently won, competitively awarded fellowship where research independence is a requirement.
  - Leading a research group or a substantial or specialised work package on an externally funded project.
68. A member of staff is not considered to have undertaken independent research purely on the basis that they are named on one or more research outputs or research grants.

### **Staff, committees and training relating to research independence**

69. For REF 2021 purposes, the REF Executive is responsible for ratifying decisions in relation to the identification of staff with research independence.
70. The REF Executive will make final decisions based on recommendations from RKE Committee and Faculty Executive Subgroups in the next meeting of the REF Executive following the census date in July 2020.
71. All staff will receive written notification of their status as independent researchers as soon as possible after decisions have been taken.

72. Correspondence will clearly set out the details of an independent appeals process and the grounds for appeal based on research independence.
73. The appeals process will run in October and November 2020 (see the section on appeals later in this document).
74. All members of RKEC and Faculty Executive Subgroups have completed and passed an online equality and diversity course and undertaken specialist REF-focussed unconscious bias training to ensure that equality and diversity is sufficiently embedded into decision-making around research independence.
75. All independent researchers who have “research-only” contracts will automatically be assumed to have a significant responsibility for research and will therefore be assigned full membership status of an appropriate UCRKE or UGRKE.

#### **Part 4: Selection of outputs**

76. Outputs will be selected on quality and allocated to an appropriate Unit of Assessment as specified by the guidance. Where metrics are used in the assessment of output quality we will use them responsibly alongside peer review in line with the recommendations of the The UK Forum for Responsible Research Metrics.
77. Our process will be as follows:
  - Establish the total headcount and FTE of staff with a significant responsibility for research in a submitting unit of assessment.
  - Assign each member of staff within this pool to their best quality output according to the data that we have available from internal review exercises.
  - This will leave us with a pool of outputs which will be ranked by quality from top to bottom.
  - We will then work our way down the output ranking attributing outputs to their authors based on the maximum and minimum quotient per individual staff member.
  - Appropriate considerations around double-weighting will be factored into output selection processes where necessary.
  - For a co-authored output, the first author will usually take precedence unless they have already had their 5 outputs attributed to them in which case we will attribute this output to an alternative co-author.
  - We will continue this process until we have reached the submission quotient for the relevant submitting unit.
78. In some circumstances, there may be outputs from the same author that are considered to have equal quality. In the light of the assessment criteria for “originality” we may take a decision to exclude a particular output in favour of another to mitigate concerns around originality.

79. Where the University can take opportunities to maximise equality and diversity in the attribution of outputs without compromising on quality then we will take positive steps to do so.
80. The University will include the outputs of staff that have left the institution either through a move to another university or through retirement or death. In the latter instance we will seek permission from the next-of-kin as appropriate.
81. The University will not knowingly seek to include the outputs of staff who have been made compulsorily redundant unless they have work that has been co-authored with an existing staff member.

### **Staff, committees and training relating to the selection of outputs**

82. For REF 2021 purposes, the REF Executive is responsible for making final decisions in relation to the selection of outputs.
83. The REF Executive will act on recommendations received from Faculty Executive Subgroups, UoA Coordination Groups and RKE committee.
84. Output selection will be informed by the results of a fair, transparent and inclusive process for staff to declare individual circumstances (see the section on individual circumstances below).
85. Where the individual circumstances process indicates that there should be a reduction in the output expectations of an individual member of staff then these expectations will be considered fully in the selection of outputs.
86. All staff will receive written notification of the outputs that they have authored that are submitted to REF 2021. This may include outputs that have been directly attributed to them as well as outputs attributed to another member of staff where they are a co-author.
87. All the members of REF Executive and UoA Coordination Groups have completed and passed an online equality and diversity course and undertaken specialist REF-focussed unconscious bias training to ensure that equality and diversity is sufficiently embedded into decision-making around output selection.

### **Part 5: Individual Circumstances**

88. All Universities participating in REF 2021 are required to establish safe and robust processes to enable individuals to declare voluntarily their individual circumstances and have the impact of those circumstances reflected in the University's expectations of their contribution to the output pool
89. In exceptional circumstances, submitting units may request a reduction in the total number of outputs required for a submission from Research England.
90. These requests can only be made where the cumulative effect of circumstances has disproportionality affected the unit's potential output pool.

91. In circumstances where a UoA Coordination Group feels it is appropriate to request an overall output reduction the decision will be taken on whether to proceed with this request by the University's REF Executive.
92. In all UoAs, an individual may be returned without the required minimum of one output without penalty in the assessment, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the period, so that the staff member has not been able to produce the required minimum of one output. This measure is intended to minimise any potential negative impact on the careers of particular groups of researchers who have not been able to produce an output in the period due to their individual circumstances.

### **Process for the disclosure of individual circumstances**

93. The University's procedure to enable staff to disclose their circumstances with the appropriate degree of confidentiality is set out below.
94. All staff will be informed of the individual circumstances process by letter in early 2020. Letters will be accompanied by an individual circumstances disclosure form (see Appendix 5) which will also be available from the University's REF 2021 intranet. This form will be based on the REF 2021 disclosure of circumstances template.
95. The letter will make it clear that disclosure of individual circumstances is voluntary and that no pressure should be applied on any individual to declare circumstances against their will.
96. Cases will be submitted confidentially to the Individual Circumstances Panel which is Chaired by the Director of Human Resources.
97. The panel will consider the following factors in making judgments about an appropriate reduction in the expectation of an individual's contribution to the total output pool:
  - Qualifying as an Early Career Researcher (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 (as defined in the Equality Act 2010 to refer to a physical or mental impairment that has a substantial and long-term negative impact on daily activities).
  - Ill health, injury or mental health conditions.
  - Constraints relating to family leave that fall outside of the standard allowances.
  - Caring responsibilities.
  - Gender reassignment.



98. As part-time working is taken account of within the calculation for the overall number of outputs (FTE on the census date x 2.5) reduction requests relating to part-time working can only be made in exceptional circumstances e.g. where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.
99. Judgments about appropriate reductions in the expectations of outputs for Early Career Researchers, secondments or career breaks and qualifying periods of family-related leave will be based on tariffs included in the REF 2021 guidance documents.
100. Judgments about other circumstances will be based on information received from the REF 2021 Equality and Diversity Advisory Panel (EDAP).

### **Data protection and confidentiality**

101. All information provided for this purpose will be kept confidential to the University's Individual Circumstances Panel. It will be stored securely and destroyed after the end of the REF assessment and audit period.
102. To inform expectations of an individuals' contribution to the total output pool, data on the appropriate volume of reductions may be shared with UoA Coordination Groups and the REF Executive. This information will only indicate the volume of appropriate reductions and will not disclose the nature of the circumstances.
103. In the event that the University's REF Executive Group does decide to request an overall reduction in the outputs for a submitting unit then data may be shared with the REF team, the REF Equality and Diversity Advisory Panel and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

### **Part 6: The Appeals Process**

104. The independent appeals process will be communicated to all staff through the development and agreement of our code of practice and in writing following the census date in July 2020.
105. Details will be available on the dedicated REF 2021 pages of our staff intranet and will be circulated in letters to the home address of all staff or by email in the event of disruption caused by Covid-19 when final decisions on staff with a significant responsibility for research and research independence are taken by the REF Executive in July 2020.
106. All staff have the right to appeal based on:
  - Decisions taken on their significant responsibility of research.
  - Decisions taken on their research independence.
  - Perceived incorrect application of the REF 2021 Code of Practice.

- Potential discrimination based on decisions on reductions in relation to individual circumstances and protected characteristics.
107. The appeals process will run in October and November 2020 following notification to all staff in relation to decisions taken by the REF Executive.
  108. Appeals will be heard by the University's REF Appeals Panel.
  109. The appeal must be submitted in writing, stating the full grounds of appeal, within twenty working days of the date on which decisions were issued to staff.
  110. Should the panel decide the grounds of appeal do not comply with the stated criteria, the letter should be returned allowing the complainant the opportunity to amend the letter. Upon receipt of the amended letter, the panel may refuse the appeal if they decide that the grounds of appeal still do not meet the stated criteria.
  111. Where the reason for the appeal relates to potential discrimination in relation to one or more protected characteristics set out in the Equality Act 2010, these should be clearly identified in the appellant's letter of appeal.
  112. The appeal should be submitted to the Chair of the Appeals Panel who will arrange a meeting with the appellant to hear the appeal. The appellant will be entitled to be accompanied by a work colleague or a trade union representative during the appeal hearing.
  113. The Chair of the Appeals Panel will invite the employee to attend a meeting to discuss the appeal normally within ten working days of the date of receipt of the written appeal.
  114. The purpose of the appeal hearing is to enable the appellant to explain and discuss the reasons and grounds for his/her appeal. The hearing is not intended to be a re-run of the initial submission.
  115. The Chair of the Appeals Panel will be provided with a copy of all relevant documentation. This must be provided by the appellant at least five working days before the appeal hearing.
  116. The appeal hearing will be chaired by by a Senior Officer of the University who is independent from other REF decision making bodies outlined in Part 1. The hearing will be attended by a representative of the Diversity and Equality Committee, the appellant, his/her employee representative, and a representative from the HR Department (note taker).
  117. Following the appeal hearing the panel may:
    - Interview any witnesses if appropriate; and
    - Interview the relevant UCRKE Director who puts forward recommendations around significant responsibility for research.
    - Gather (where appropriate) additional documentary evidence.

118. The outcome of the appeal hearing will be notified to the employee, as soon as possible, normally within ten working days of the appeal meeting.
119. The decision at this stage of the procedure is final. Written feedback will be given to the appellant upon request. For the avoidance of doubt, once this procedure has been exhausted, there is no further right of the appellant to raise further complaints relating to the same decision through any other University fair treatment procedures.

## **Part 7: Equality impact assessments**

120. The University has an established process for carrying out equality impact assessments of its policies. To accompany this code of practice we will conduct periodic equality impact assessments of:
  - The RKE Strategy.
  - Processes for identifying staff with a significant responsibility for research.
  - Processes for identifying research independence.
  - Processes for the selection of outputs.
  - Processes for the disclosure of individual circumstances.
  - The University's final submission to REF 2021.
121. The RKE Strategy was equality impact assessed when it was produced in 2017 (see Appendix 6). The equality impact assessment did not flag up any specific concerns about the impact of the strategy on staff with protected characteristics.
122. The University's process for the identification of staff with a significant responsibility has been equality impact assessed (see Appendix 7).
123. This assessment demonstrated that the University can still make some improvements to the equality profile of our REF 2021 submission in gender, ethnicity and disability whereas our proposed approach was positive in relation to age and sexual orientation. On gender for example, progress has been made since REF 2014 in relation to the potential submission of female staff. In 2014, 44% of our overall submission was female. Using the methodology proposed in this CoP this figure is predicted to rise to 46% against a total overall staffing base of 52% female. This still represents a disparity which the University is keen to take positive steps to address.
124. Specific actions that will be taken to improve equality and diversity in the University's final submission to REF 2021, aside from the widespread promotion of the individual circumstances process, includes further work to understand the equality profile of associate members of UCRKEs and UGRKEs and any steps that can be taken to make improvements to elements such as the gender balance. The University will launch a bespoke Return to Research Fellowship as part of the RKE Strategy and there will be further engagement with HR colleagues through the RKE Committee to ensure that

Equality and Diversity considerations are further embedded into research management processes.



## Appendix 1: Summary of relevant equality legislation

A summary of the equality legislation with which the University has to comply generally, and which should be taken into account when preparing our REF 2021 submission, is included in Table 1.

**Table 1: Summary of relevant equality legislation**

<p><b>Age</b></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><b>Disability</b></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.</p> <p>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</p>

	<p>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"> <li>• sensory impairments</li> <li>• impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy</li> <li>• progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer</li> <li>• organ specific impairments, including respiratory conditions and cardiovascular diseases</li> <li>• developmental impairments, such as autistic spectrum disorders and dyslexia</li> <li>• mental health conditions such as depression and eating disorders</li> <li>• impairments caused by injury to the body or brain.</li> </ul> <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>
<p><b>Gender reassignment</b></p>	<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.</p> <p>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.</p> <p>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>
<p><b>Marriage and civil partnership</b></p>	<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 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>
<p><b>Political opinion</b></p>	<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>
<p><b>Pregnancy and maternity</b></p>	<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>
<b>Race</b>	<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>
<b>Religion and belief including non-belief</b>	<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>
<b>Sex (including breastfeeding and additional paternity and adoption leave)</b>	<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</p>



	<p>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>
<p><b>Sexual orientation</b></p>	<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>
<p><b>Welsh language</b></p>	<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>

## **Appendix 2: Terms of reference and membership of the Diversity and Equal Opportunities Committee including extract from the minutes of the meeting on 2<sup>nd</sup> May 2019**

### **DIVERSITY AND EQUAL OPPORTUNITIES COMMITTEE**

#### **Terms of Reference**

1. To advise University Executive Group on all aspects of diversity and equal opportunities.
2. To monitor and report progress to University Executive Group and the Board of Governors on the development and implementation of diversity and equal opportunities policy and practice.
3. To influence internal policies and practices.
4. To organise and co-ordinate consultation on diversity and equal opportunities through the Equality Fora and through external consultation.
5. To ensure effective consultation with other groups not represented on named Groups.
6. To establish a programme of communication and activities to celebrate and encourage dignity and respect for diversity within our staff and students.

#### **Reporting Line**

University Executive Group

#### **Structure**

The structure of the DEOC is designed to:

- be consultative in nature;
- engage with academic and related issues as well as employment issues;
- have clear links to Academic Board, Governors and the University Executive Group.
- have clearly defined functions which include monitoring and evaluation.

#### **Membership**

Vice-Chancellor (Chair)	Professor Malcolm Press
Director of Human Resources	Ms Frances Hewison
Assistant Director of Human Resources: Talent, Engagement and Development	Ms Josie Elson
Equality and Diversity Manager	Mr Stuart McKenna
Director of Marketing, Communication and Development	Mr Martin Robinson (representing)
One Representative of UNISON	Ms Linda Holden

One Representative of UCU	Ms Pura Ariza or Ms Julie Wilkinson
One Representative of GMB	Mr Benjamin Thompson
Head of Centre for Excellence in Learning and Teaching	Ms Rachel Forsyth
Director of Student Services	Ms Rita Lewin
Deputy Director of Student Services	Mr Lyle Millard
Pro-Vice-Chancellor for Education	Professor Helen Laville
1 x Faculty Head of Education	Professor Claire Hamshire
Co-Chairs, Race Staff Forum	Mr Sabar Ansari / Mr Smarak Mishra (alternate attendance)
Co-Chairs, Gender Staff Forum	Ms Christine McCarthy / Ms Monika Krawczyk (alternate attendance)
Co-Chairs, Disabled Staff Forum	Ms Marina Matosic / Ms Lykara Ryder (alternate attendance)
Co-Chairs, LGBTQA+ Staff Forum	Dr Andrew Moor / Mr Paul Kerrigan (alternate attendance)
Students' Union Wellbeing Officer	Mr Andy Harmon
Diversity and Inclusion Project Coordinator, Students' Union	Ms Beth Bradshaw
Strategic Planning Representative	Ms Loren Dean-Austin
Estates Representative	Ms Helena Tinker

<b>Faculty Nominees (nominated by the Faculty Pro-Vice-Chancellor)</b>	
Arts and Humanities	My Michael Gorman
Business and Law	Dr Dinah Rogers
Education	Professor Rachel Holmes
Health, Psychology and Social Care	Ms Helen Ogilvie
Cheshire Faculty	Dr Jie Liu
Science and Engineering	Dr Theresa Nicholson

**Extract from the minutes of the Diversity and Equal Opportunities Committee  
dated 2<sup>nd</sup> May 2019**

**MANCHESTER METROPOLITAN UNIVERSITY**

**DIVERSITY AND EQUAL OPPORTUNITIES COMMITTEE**

**MINUTES OF THE MEETING HELD ON 2 MAY 2019**

**400 REF 2021 DRAFT CODE OF PRACTICE FOR CONSULTATION**

The Pro-Vice-Chancellor for Research and Knowledge Exchange and the Head of Research Environment and Impact presented the REF 2021 draft Code of Practice (DEO/19/15). It was noted that extensive consultation had taken place during the development of the Code. There was discussion about the equality impact assessment and it was noted that there were overall indications that equality and diversity had improved at the University since REF 2014.

The Committee agreed that Manchester Met was an institution that promoted teaching and research excellence. The Pro-Vice-Chancellor for Research and Knowledge Exchange and the Head of Research Environment and Impact were thanked for their work on the Code of Practice.

AGREED

that the REF 2021 Draft Code of Practice be endorsed for submission to Academic Board for approval.

## Appendix 3: Terms of Reference for the University's Academic Board and extract from the minutes of the meeting on 20<sup>th</sup> May 2019

### THE ACADEMIC BOARD

#### Terms of Reference

Subject to the provisions of the Articles of Government, to the overall responsibility of the Board of Governors, and to the responsibilities of the Vice-Chancellor, the Academic Board is responsible:

1. For general issues relating to the research, scholarship, learning and teaching and courses at the institution, including criteria for the admission of students; the appointment and removal of internal and external examiners; policies and procedures for assessment and examination of the academic performance of students; the content of the curriculum; academic standards and the validation and review of courses; the procedures for the award of qualifications and honorary academic titles; and the procedures for the expulsion of students for academic reasons, such responsibilities shall be subject where appropriate to the requirements of validating and accrediting bodies.
2. For considering the development of the academic and related activities of the University and the resources needed to support them and for advising the Vice-Chancellor and the Board of Governors thereon.
3. For advising on such matters as the Board of Governors or the Vice-Chancellor may refer to the Academic Board.

#### Membership

1.	Vice-Chancellor (Chair)
2.	Ex Officio: <ul style="list-style-type: none"> <li>• Deputy Vice-Chancellor</li> <li>• Chief Operating Officer</li> <li>• Pro-Vice-Chancellor Education</li> <li>• Pro-Vice-Chancellor International</li> <li>• Pro-Vice-Chancellor Research and Knowledge Exchange</li> <li>• Faculty Pro-Vice-Chancellors</li> </ul>
3.	One Head of Department / Deputy Faculty Pro-Vice Chancellor from each Faculty, nominated by the Faculty Pro-Vice-Chancellor (term of office: 2 years)
4.	One Faculty Head of Education nominated by the Pro-Vice-Chancellor Education (term of office: 2 years)
5.	One Faculty Head of International nominated by the Pro-Vice-Chancellor International (term of office: 2 years)
6.	One Faculty Head of Research and Knowledge Exchange nominated by the Pro-Vice-Chancellor Research and Knowledge Exchange (term of office: 2 years)
7.	Three members of the Professoriate nominated by the Chair (term of office: 2 years)
8.	One elected member of staff from each Faculty (term of office: 2 years)
9.	The President of the Students' Union
10.	The Students' Union Education Officer

## Operational Protocols

1. The focus of Academic Board business should be on academic enhancement. Routine monitoring of quality management should be undertaken by the academic administration, and reported to Academic Board via its Committees.
2. Responsibility for the enactment, implementation and monitoring of operational procedures is delegated by the Academic Board to its Committees. The following responsibilities, however, are retained by the Board and not delegated:
  - Determination of academic strategy and strategic planning.
  - Approval of policy.
  - Approval of policy statements.
  - Approval of Institutional Codes of Practice.
  - Approval of regulations.
  - Approval of documents prepared for institutional reviews.
  - Approval of substantial revisions to any of the above.
  - Approval of changes to terms of reference and composition of the Board's committees (including Assessment Boards and Programme Committees).
3. In order to reinforce the link between Academic Board Committees, executive responsibilities and strategic direction, all Academic Board Committees should be chaired by the relevant members of the University Executive Group in their Pro ViceChancellor roles.

## Quorum

The quorum for Academic Board meetings is 50% of the total membership.

**Excerpt from the minutes of the University's Academic Board meeting convened to discuss the REF 2021 Code of Practice on the 20<sup>th</sup> May 2019**

### **2452 REF 2021 CODE OF PRACTICE**

#### **2452.1 Code of Practice**

The Pro-Vice-Chancellor Research and Knowledge Exchange and the Head of Research Environment and Impact presented the REF 2021 Code of Practice (CoP) (AB/18-19/50) which, in accordance with the guidance from Research England, had been developed through an extensive consultation process including four workshops accessible to all, at the All Saints, Birley and Crewe campuses. There had also been extensive and positive consultation with UCU. Following this, the CoP had been reviewed by the Diversity and Equal Opportunities Committee, the Research and Knowledge Exchange Committee and the University Executive Group, and had received positive feedback.

The importance of the REF 2021 was highlighted, since the outcome would affect the University's reputation, league table position and income for a number of years. It was noted that the major difference between the REF 2014 and the REF 2021 was a change from the

University selecting which staff to include to being obliged to include all staff with a 'significant responsibility for research'. The CoP set out how the University would determine which staff were placed in this category and, consequently, included in the University's REF 2021 submission. The CoP also described the processes the University would use for considering special circumstances and appeals.

In discussion, points made included:

- that consultation on the draft CoP had been extensive and positive;
- that equality and diversity considerations had been dealt with sensitively and effectively;
- that some Early Career Researchers would not be included in the REF 2021 submission because they did not meet the 'Independent Researcher' criteria, and it would be helpful if these staff had a clear understanding of the process;
- that minor changes could usefully be made to Figure 2, so that it mirrored the sequencing in the text of the CoP.

### **2452.2 Next Steps**

Next steps were confirmed as:

- Finalisation and submission of the CoP to Research England by 7 June 2019.
- Feedback from Research England (if applicable) with two opportunities to make amendments based on the feedback, if required.
- Publication of approved CoPs by Research England by December 2019.

### **2452.3 Conclusion**

It was confirmed that a meeting with Post-Doctoral staff and Research Fellows would be beneficial to ensure their full understanding of the criteria for 'independent researcher' and that wide-ranging communication about the REF would continue, to ensure transparency and full understanding across the institution.

The Committee welcomed the clarity of the CoP and commended its alignment to the Research England guidance, its commitment to equality and diversity and the extensive consultation process which had taken place.

**AGREED** Subject to the re-ordering of Figure 2, to mirror the sequencing of the text, to approve the REF 2021 Code of Practice for submission to Research England by 7 June 2019.



**Appendix 4: Letter from the Head of Institution confirming that the CoP, and within it the process for identifying staff with significant responsibility for research, has been agreed by appropriate staff representative mechanisms.**

**Manchester Metropolitan  
University**



Dr. Hill  
Nicholson House  
Lime Kiln Close  
Stoke Gifford, Bristol  
BS34 8SR

*from the Vice-Chancellor  
Professor Malcolm Press*

All Saints Building, Manchester,  
M15 6BH, United Kingdom

+44 (0)161 247 1560

vice-chancellor@mmu.ac.uk

**16 September 2019**

Dear Dr. Hill,

**Re: Manchester Metropolitan University REF 2021 Code of Practice**

I am responding to correspondence received from Jonathan Piotrowski on the 16<sup>th</sup> September in relation to our University's Code of Practice for REF 2021.

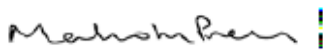
Firstly, I would like to thank Research England for examining the evidence we provided and for confirming that it shows that our Code of Practice, and within it the process of identifying staff with significant responsibility for research, has been agreed by appropriate staff representative mechanisms.

Secondly, I would like to confirm that it is also my view that our Code of Practice, and within it the process of identifying staff with significant responsibility for research, has indeed been agreed by appropriate staff representative mechanisms.

We have amended Sections 61 and 62 of our Code of Practice, and relevant parts of the appendices, to make clear how staff agreement was reached.

In accordance with your request, I herewith include a version of the amended Code of Practice with "tracked changes", and a "clean" but otherwise identical version. The amended version of the Code of Practice also includes copy of this letter as Appendix 4.

Yours sincerely



cc

Jonathan Piotrowski

Kim Seth

Sam Gray

Richard Greene

## Appendix 5: Declaration of Individual Staff Circumstances Template

### Declaration of Individual Staff Circumstances template

As part of Manchester Metropolitan University's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be submitted to REF without the minimum requirement of one output where they have;
  - 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.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

#### Applicable circumstances

- 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

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we 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**

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), 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 REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The 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.

**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><b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b></p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p><b>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</b></p>	<p>Tick here <input type="checkbox"/></p>
<p><b>Career break or secondment outside of the HE sector.</b></p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p><b>Family-related leave;</b></p> <ul style="list-style-type: none"> <li>• statutory maternity leave</li> <li>• statutory adoption leave</li> <li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li> </ul> <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><b>Disability (including chronic conditions)</b></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><b>Mental health condition</b></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><b>Ill health or injury</b></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><b>Constraints relating to family leave that fall outside of standard allowance</b></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><b>Caring responsibilities</b></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><b>Gender reassignment</b></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><b>Any other exceptional reasons e.g. bereavement.</b></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 members of the University's Individual Circumstances panel.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

**Name:** Print name here

**Signed:** Sign or initial here

**Date:** Insert date here

I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number

# Appendix 6: Equality Impact Assessment for the University's RKE Strategy

## Section A: About the Policy

1. Title of policy being developed/revised:	Research and Knowledge Exchange Strategy		
2. Policy type (to tick box double click and chose 'checked')	New <input checked="" type="checkbox"/>	Review <input type="checkbox"/>	
3. Which category does this document fall into? (to tick box double click and chose 'checked')	<b>Policy</b> Sets out the University's position on an issue and the direction to <b>be taken</b> . <input type="checkbox"/>	<b>Code of Practice</b> A set of standards that indicate best and expected practice in the area. <input type="checkbox"/>	<b>Guidance/Guidelines</b> A suggested approach to a particular area and activities that <b>should be performed</b> . <input type="checkbox"/>
	<b>Procedure</b> Activities that <b>must be performed</b> in relation to an area. <input type="checkbox"/>	<b>Regulation</b> A set of rules and standards governing the area that <b>must be observed</b> . <input type="checkbox"/>	<b>Service/Practice</b> <input type="checkbox"/>
	<b>Strategy</b> A plan of action to take the University in a particular direction or to achieve an overall aim for an area. <input checked="" type="checkbox"/>	<b>Framework</b> An outline for possible courses of action or a preferred approach to an area. <input type="checkbox"/>	<b>Other (please give details)</b> <input type="checkbox"/> <small>Click here to enter text.</small>
4. Directorate / Dept. / Division	Research and Knowledge Exchange		
5. Who is responsible for developing and implementing this policy?	Research and Knowledge Exchange		
6. Names and roles of staff involved in completing this EIA form:	Stuart McKenna, Equality & Diversity Manager		
7. What are the main aims of this policy? (If there are associated objectives, please explain briefly e.g. National Service Framework)	<ol style="list-style-type: none"> <li>1. Raise the profile of high-quality research internally and externally as (i) Part of our <b>identity</b> as a University. (ii) An important contributor to the student academic <b>experience</b>. (iii) As a means of enhancing our reputation.</li> <li>2. Increase the leadership focus, and the investment of resources, on research that is of high intrinsic quality and has the ability to generate positive impact on society, culture, the environment and the economy.</li> <li>3. Firmly establish highly professional University Centres for Research and Knowledge Exchange that are of a scale and quality to rival the best in the world,</li> <li>4. Create a "research ecosystem" in which to provide exemplary support for research and <b>knowledge</b> exchange and the development of staff.</li> <li>5. Introduce robust approaches to monitor research performance and adjust the <b>allocation</b> of resources accordingly.</li> </ol>		

## Section B: Implementation

8. How will the Policy be implemented? e.g. management guidance and training – please attach implementation plan	Research and knowledge exchange will usually be conducted through University Centres for Research and Knowledge Exchange (UCRKE) offering the benefits of <b>critical</b> mass and shared resources. However, we will also support outstanding lone workers and smaller groups where they can satisfy the relevant principles
---------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

## Section C: Review (Read Appendix 8 for further guidance)

In order to demonstrate due regard, HEI's must consider the three aims of the general duty when making decisions, for e.g. when:

- a) Developing, evaluating and reviewing policies
- b) Designing, delivering and evaluating services/educational provisions
- c) Commissioning and procuring services from others

9. Who is responsible for monitoring the impact of this policy?	RKE Committee			
10. How will you measure/monitor/evaluate the policy to determine whether it has been effectively and fairly applied across the University?	e.g. Review the numbers of managers attending training as a percentage of total managers to ensure the policy has been cascaded across all areas Monitor the outcomes of individuals and <b>Faculty's</b> in respect of equality and diversity data.			
11. What is the review date for this policy? (please indicate and state date)  It is important to keep all policies under review to ensure that they remain up-to-date, fit for purpose and legally compliant. As a minimum, it is suggested that policies are reviewed every five years following initial approval or earlier if there is a legislative or regulatory requirement.	Annually	Biennially	Three years	Five years
	Click here to enter a date.	Click here to enter a date.	Click here to enter a date.	Monday, 04 October 2021
<b>N.B. review dates are proportionate to the significance of the policy on stakeholders and the risk involved.</b> (The Governance and Secretariat Team keep a record of all policies approved by the University's Boards and Committees, including review dates).				

## Section D: Equality Relevance

1. Does the policy involve, or have consequences for students, employees or other people?	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
2. If yes, then the policy is equality relevant so please state who will be affected.	Staff applying for appointment to Professor.	



## Section E: The General Duties under the Equality Act 2010

The EIA process entails an evidence-based approach. When gathering information about a policy or activity the EIA requirement means that it should be analysed to show impact on minority groups (which may reveal that there is no impact). Please refer to Appendix 4: 'EIA Evidence Requirements'.

<b>To eliminate discrimination, harassment and victimisation and all other prohibited conduct</b>	<b>To advance equality of opportunity and foster good relations between people from different groups</b>
Based on the evidence you have analysed, describe any actual or likely adverse impacts that may arise as a result of the policy and tick the box 'Negative Impact' in the table below then give details under 'Reason/comment'.	Can the policy/project help to advance equality of opportunity or foster good relations in any way? This involves tackling prejudice and promoting understanding between people from different groups. If yes, please tick 'Positive Impact' and provide details explaining how in the table below.
You should also state what actions will be taken to mitigate that negative impact, i.e. what can the University do to minimise the negative consequences of its decision/action.	
If there are <b>neither positive nor negative implications</b> for any one group of people compared to others, please tick ' <b>Neutral</b> '.	

PROTECTED CHARACTERISTIC (PC)	POSITIVE IMPACT	NEGATIVE IMPACT	NEUTRAL	UNSURE	REASON / COMMENT
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider impact on different ages: young people, older people etc. As an adjunct to the appointment of established researchers of professorial status we will increasingly focus our attention on candidates at the earlier stages of their
Disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	careers and be prepared to ensure that their workload and job mix gives them a realistic opportunity to establish themselves as researchers. Consider infrastructural, social and attitudinal barriers Adjustment for personal circumstances that might reduce the volume of outputs will be provided for staff. Where colleagues had been doing well in their research careers before experiencing a period of disruption, we will provide active support to return them to a position where they can produce research of the required quality. (Such a period of disruption may include disability related absence).
Gender Reassignment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	People thinking about, undergoing or who have undergone gender reassignment including bullying/harassment issues, not ensuring privacy of data to avoid disclosure of gender identity etc. Adjustment for personal circumstances that might reduce the volume of outputs will be provided for staff. Where colleagues had been doing well in their research careers before experiencing a period of disruption, we will provide active support to return them to a position where they can produce research of the required quality. (Such disruption may include activities associated with gender reassignment).
Marriage & Civil Partnership	N/A	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The specific duties also apply to marriage and civil partnership, but only in respect of the requirement to have due regard to the need to eliminate unlawful discrimination in employment. Click here to enter text.
Pregnancy and Maternity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider pregnant women, women who are breastfeeding, fathers on paternity etc. Adjustment for personal circumstances that might reduce the volume of outputs will be provided for staff. Where colleagues had been doing well in their research careers before experiencing a period of disruption, we will provide active support to return them to a position where they can produce research of the required quality. (Such disruption may include periods of maternity leave).
Race	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Consider potential impact on people from different ethnic groups, nationalities, travellers, languages etc. Click here to enter text.
Religion or Belief	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Consider people with different religious/faith beliefs or those with none. Click here to enter text.
Sex / Gender	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider men and women with different working arrangements e.g. PT, shift working, with dependents/carer responsibilities etc. Adjustment for personal circumstances that might reduce the volume of outputs will be provided for staff. Where colleagues had been doing well in their research careers before experiencing a period of disruption, we will provide active support to return them to a position where they can produce research of the required quality. (Such periods of disruption may include periods of maternity or adoption leave).
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Consider bisexual, gay, heterosexual or lesbian people. Click here to enter text.

Was there a negative impact or are you unsure?

Choose an item.

Please contact the E&D team ASAP on [equality@man.ac.uk](mailto:equality@man.ac.uk)

For further help on consultation see APPENDIX 5

Was there a positive impact?

Choose an item.

If yes, please complete a 'Positive Case Study Form' APPENDIX 7 and then move onto Section D: Implementation

## Section F: Authorisation

Name & job title of person completing this checklist:	Stuart McKenna
Date of completion:	04 October 2017
Name & job title of authorised person: (i.e. Head of Department/Director/Dean)	Professor Richard Greene Pro-Vice-Chancellor Research and Knowledge Exchange

## Appendix 7: Equality Impact Assessment for the identification of staff with a significant responsibility for research

### Equality and Diversity Profile: University Centres for Research and Knowledge Exchange

This analysis compares the equality and diversity profile of members of the University Centres for Research and Knowledge Exchange (UCRKE) with that of all other academic staff at the institution. The report first compares the profile of all UCRKE staff with all other academic staff, and then provides a breakdown by faculty. The analysis is by faculty rather than research centre to allow comparison with all other academic staff who are not members of UCRKEs.

This report uses the Equality & Diversity Annual report population (excludes casual / sessional staff, and uses the census point of 1<sup>st</sup> Dec 2018). There are 1,589 members of academic staff overall. 510 academic staff are members of at least one UCRKE, compared to 1,079 staff who are not.

**Figure 3: Number of academic staff by UCRKE membership**

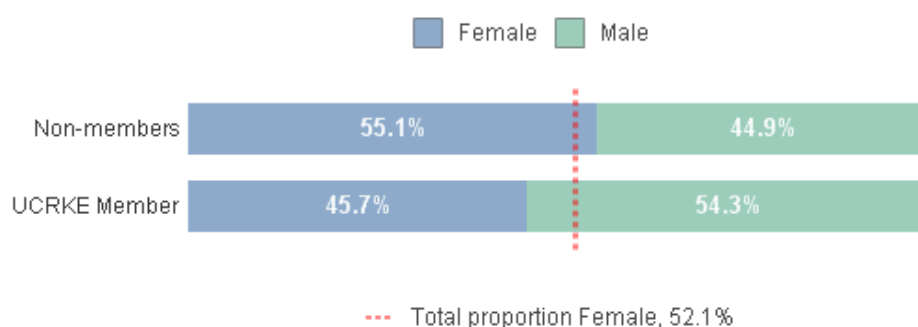
Staff group	Number of staff (headcount)
UCRKE Member	510
Other academic staff	1,079
Professional services staff (not included in this analysis)	2,185

Population: all academic staff excl. casual and sessional as at 1<sup>st</sup> December census date. Calculated based on headcount

### Gender: a higher proportion of academic staff overall are female, but the majority of UCRKE members are male

55.1% of academics who are not UCRKE members are female compared to 45.7% of UCRKE members who are female. The total proportion female staff in the academic population is 52.1%. Women are therefore underrepresented in the UCRKE population.

**Figure 4: Proportion of UCRKE members, non-members and all academic staff by gender**



Population: all academic staff excl. casual and sessional as at 1<sup>st</sup> December census date. Calculated based on headcount

**Figure 5: Number and proportion of UCRKE members, non-members and all academic staff by gender**

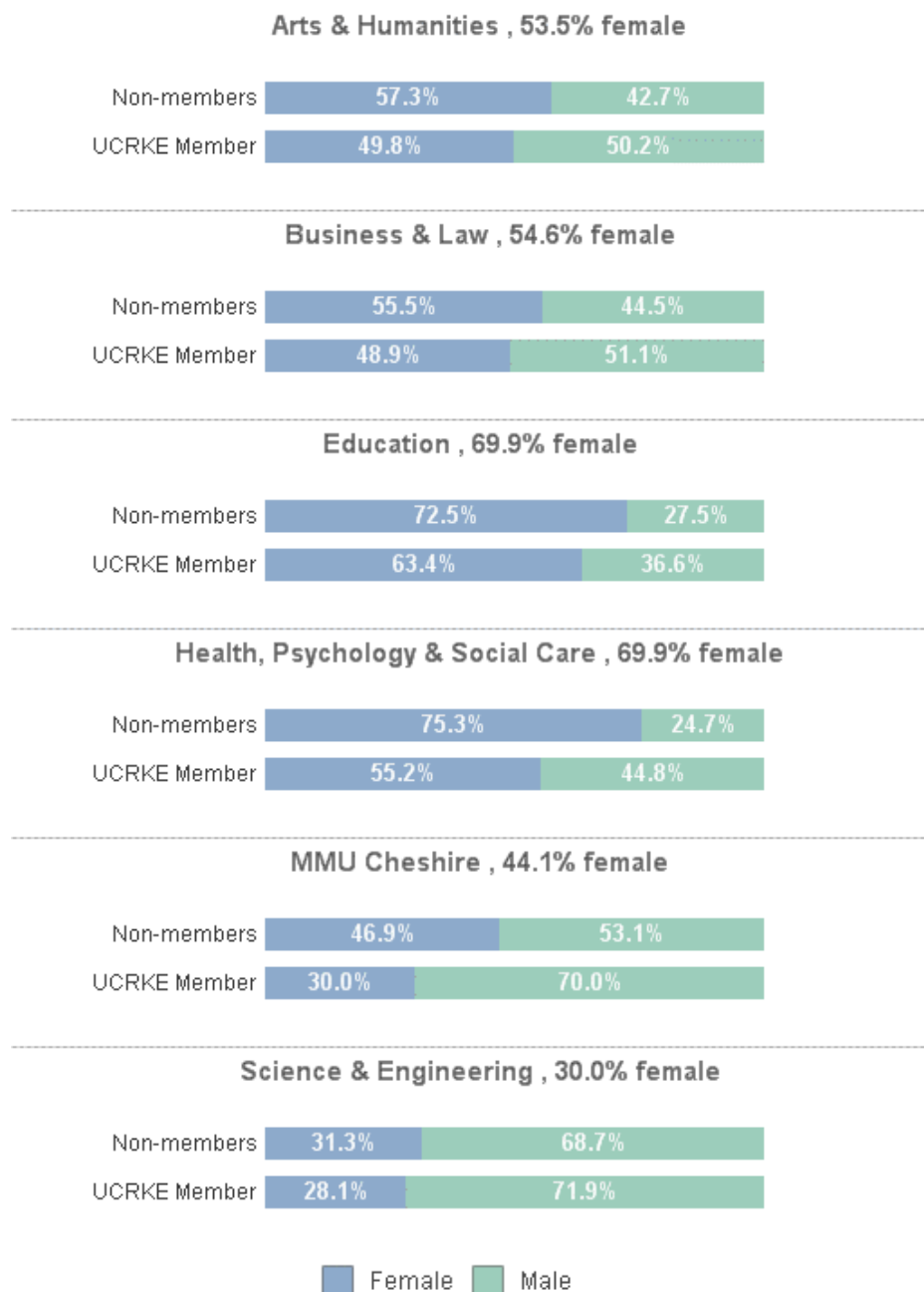
	%		#	
	Female	Male	Female	Male
UCRKE Member	45.7%	54.3%	233	277
Non-members	55.1%	44.9%	595	484
All academic staff	52.1%	47.9%	828	761

Population: all academic staff excl. casual and sessional as at 1<sup>st</sup> December census date. Calculated based on headcount

Gender: in every faculty there is a lower proportion female staff in UCRKEs than in the academic population overall

In every faculty, the proportion of UCRKE staff who are female is lower than the proportion of non-members who are female, and lower than the overall proportion female staff (shown in grey next to the faculty name). The largest discrepancies are in HPSC and MMU Cheshire.

**Figure 6: Proportion of UCRKE members, non-members and all academic staff by faculty and gender. Total % female by faculty is shown in grey next to faculty name.**



Population: all academic staff attached to faculties excluding casual and sessional as at 1<sup>st</sup> December census date. Figures calculated based on headcount

**Figure 7: Number and proportion of UCRKE members, non-members and all academic staff by faculty and gender**

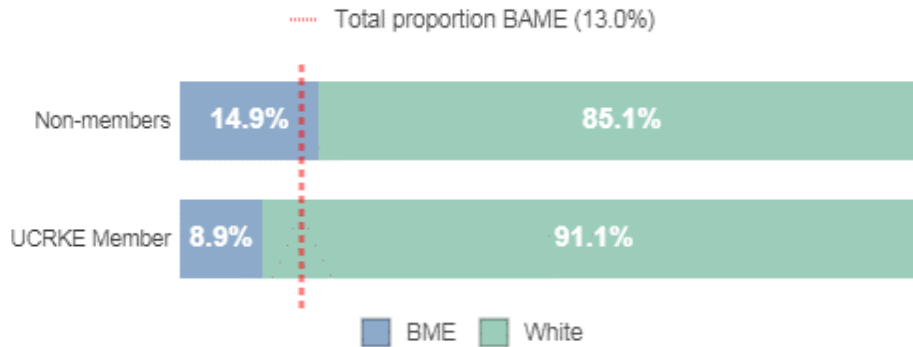
	%		#	
	Female	Male	Female	Male
<i>Arts &amp; Humanities</i>	<b>53.5%</b>	<b>46.5%</b>	<b>242</b>	<b>210</b>
Other academic	57.3%	42.7%	130	97
UCRKE Member	49.8%	50.2%	112	113
<i>Business &amp; Law</i>	<b>54.6%</b>	<b>45.4%</b>	<b>194</b>	<b>161</b>
Other academic	55.5%	44.5%	171	137
UCRKE Member	48.9%	51.1%	23	24
<i>Education</i>	<b>69.9%</b>	<b>30.1%</b>	<b>100</b>	<b>43</b>
Other academic	72.5%	27.5%	74	28
UCRKE Member	63.4%	36.6%	26	15
<i>HPSC</i>	<b>69.9%</b>	<b>30.1%</b>	<b>151</b>	<b>65</b>
Other academic	75.3%	24.7%	119	39
UCRKE Member	55.2%	44.8%	32	26
<i>MMU Cheshire</i>	<b>44.1%</b>	<b>55.9%</b>	<b>26</b>	<b>33</b>
Other academic	46.9%	53.1%	23	26
UCRKE Member	30.0%	70.0%	3	7
<i>Science &amp; Engineering</i>	<b>30.1%</b>	<b>69.9%</b>	<b>102</b>	<b>237</b>
Non-members	31.3%	68.7%	66	145
UCRKE Member	28.1%	71.9%	36	92

Population: all academic staff attached to faculties excluding casual and sessional as at 1<sup>st</sup> December census date.  
 Figures calculated based on headcount

Ethnicity: around 15% non-members are BAME, compared to 9% UCRKE staff

A lower proportion of UCRKE members are Black, Asian or Minority Ethnic (8.9%) compared to non-members (14.9%). 13.0% of academic staff overall are BAME. BAME staff are under-represented in the UCRKE population.

**Figure 8: Proportion of UCRKE members, non-members and academic staff overall by ethnicity (2-way)**



Population: all academic staff excl. casual and sessional as at 1<sup>st</sup> December census date. Calculated based on headcount

**Figure 9: Number and proportion of UCRKE members, non-members and academic staff overall by ethnicity (2-way)**

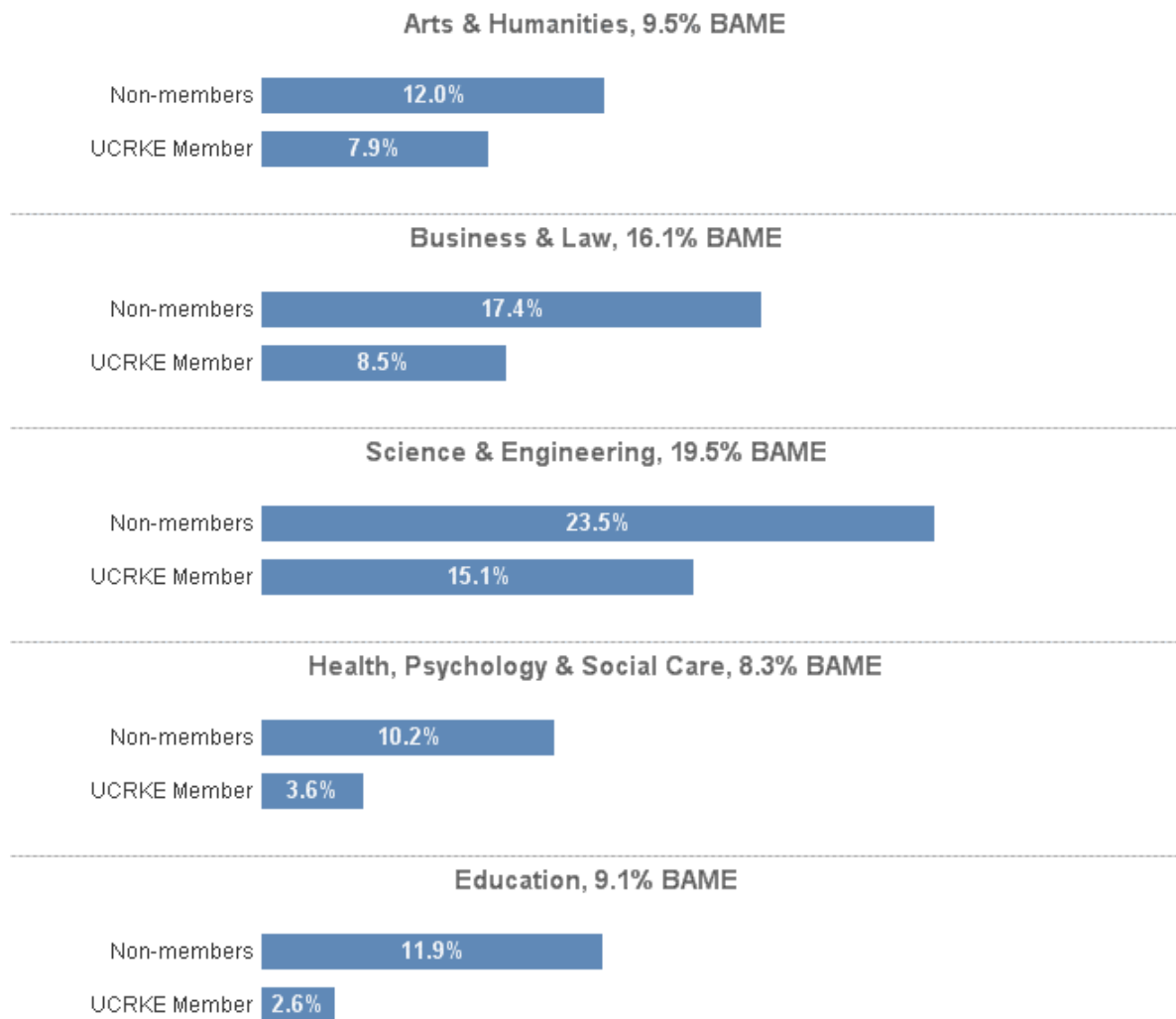
	%		#		Unknown
	BAME	White	BAME	White	
UCRKE Member	14.9%	85.1%	157	894	28
Other academic	8.9%	91.1%	44	449	17
All academic staff	13.0%	87.0%	201	1343	45

Population: all academic staff excl. casual and sessional as at 1<sup>st</sup> December census date. Calculated based on headcount

**Ethnicity by faculty: in every faculty the proportion of BAME UCRKE members is lower than the proportion of BAME non-members, and BAME academic staff overall**

In all faculties there is a lower proportion of BAME staff in research centres than in the faculty overall. The difference is 4.1 percentage points in Arts & Humanities; 8.9 percentage points in Business & Law; 8.4 percentage points in Science & Engineering; 6.6 percentage points in HPSC; 9.3 percentage points in Education.

**Figure 10: Proportion of UCRKE members, non-members and all academic staff who are BAME by faculty. Total % BAME by faculty is shown in grey next to faculty name.**



Population: all academic staff attached to faculties excluding casual and sessional as at 1<sup>st</sup> December census date. Figures calculated based on headcount. Proportion of all staff for whom ethnicity is known. Excludes Cheshire due to small numbers.

**Figure 11: Number and proportion of UCRKE members, non-members and all academic staff by Ethnicity (2-way) and faculty**

	%		#		Unknown
	BAME	White	BAME	White	
<i>Arts &amp; Humanities</i>	<b>10.0%</b>	<b>90.0%</b>	<b>43</b>	<b>389</b>	<b>20</b>
Non-members	12.0%	88.0%	26	191	10
UCRKE Member	7.9%	92.1%	17	198	10
<i>Business &amp; Law</i>	<b>16.2%</b>	<b>83.8%</b>	<b>57</b>	<b>294</b>	<b>4</b>
Non-members	17.4%	82.6%	53	251	4
UCRKE Member	8.5%	91.5%	4	43	
<i>Education</i>	<b>9.3%</b>	<b>90.7%</b>	<b>13</b>	<b>127</b>	<b>3</b>
Non-members	11.9%	88.1%	12	89	1
UCRKE Member	2.6%	97.4%	*	*	2
<i>Health, Psychology &amp; Social Care</i>	<b>8.5%</b>	<b>91.5%</b>	<b>18</b>	<b>195</b>	<b>3</b>
Non-members	10.2%	89.8%	16	141	1
UCRKE Member	3.6%	96.4%	*	*	2
<i>Science &amp; Engineering</i>	<b>20.2%</b>	<b>79.8%</b>	<b>66</b>	<b>260</b>	<b>13</b>
Non-members	23.5%	76.5%	47	153	11
UCRKE Member	15.1%	84.9%	19	107	2

Population: all academic staff attached to faculties excluding casual and sessional as at 1<sup>st</sup> December census date. Figures calculated based on headcount as a proportion of all staff for whom ethnicity is known. Excludes Cheshire due to small numbers in order to protect anonymity.

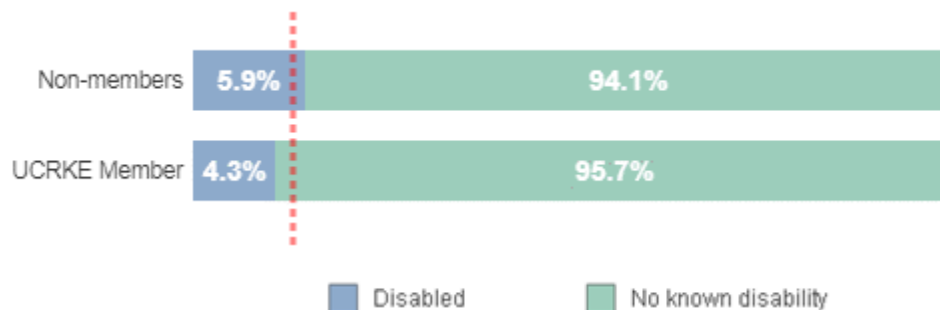
*\*small numbers have been suppressed to protect anonymity*



### Disability: a lower proportion of UCRKE members are disabled

4.3% UCRKE members disclose a disability compared to 5.9% of all other academic staff. Disabled staff are therefore slightly under-represented in the UCRKE population.

**Figure 12: Proportion of UCRKE members, non-members and academic staff overall by disability status**



Population: all academic staff excluding casual and sessional as at 1<sup>st</sup> December census date. Figures calculated based on headcount

**Figure 13: Number and proportion of UCRKE members, non-members and academic staff overall by disability status**

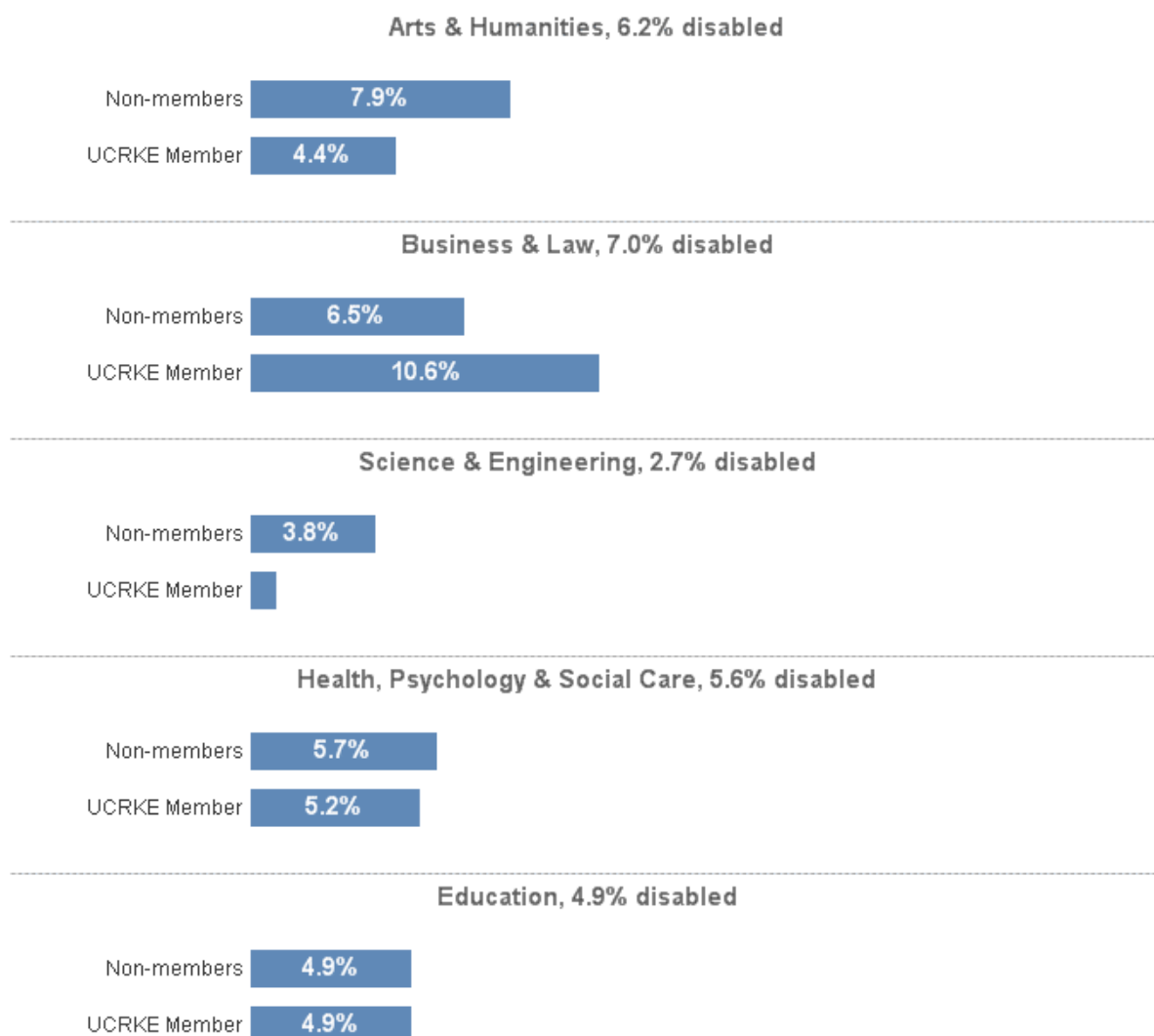
	%		#	
	Disabled	No known disability	Disabled	No known disability
UCRKE Member	5.9%	94.1%	64	1015
Other academic	4.3%	95.7%	22	488
Academic staff total	5.4%	94.6%	86	1503

Population: all academic staff excluding casual and sessional as at 1<sup>st</sup> December census date. Figures calculated based on headcount

### Disability: proportions disabled UCRKE staff vary by faculty

Business & Law has a higher proportion disabled staff in UCRKEs (10.6% compared to 6.5% non-members and 7.0% staff overall); in Education and HPSC the proportion is very similar; and in Arts & Humanities and Science & Engineering the proportion of disabled staff who are members of Research Centres is lower than the proportion of academic staff overall who are disabled. Disabled staff are under-represented in the UCRKE population from Arts & Humanities and Science & Engineering, and over-represented from Business & Law.

**Figure 14: Proportion of UCRKE members, non-members and academic staff overall who are disabled by faculty. Total % BAME by faculty is shown in grey next to faculty name.**



Population: all academic staff attached to faculties excluding casual and sessional as at 1<sup>st</sup> December census date. Figures calculated based on headcount. Excludes Cheshire due to small numbers.

**Figure 15: Number and proportion of UCRKE members, non-members and academic staff overall by faculty and disability status**

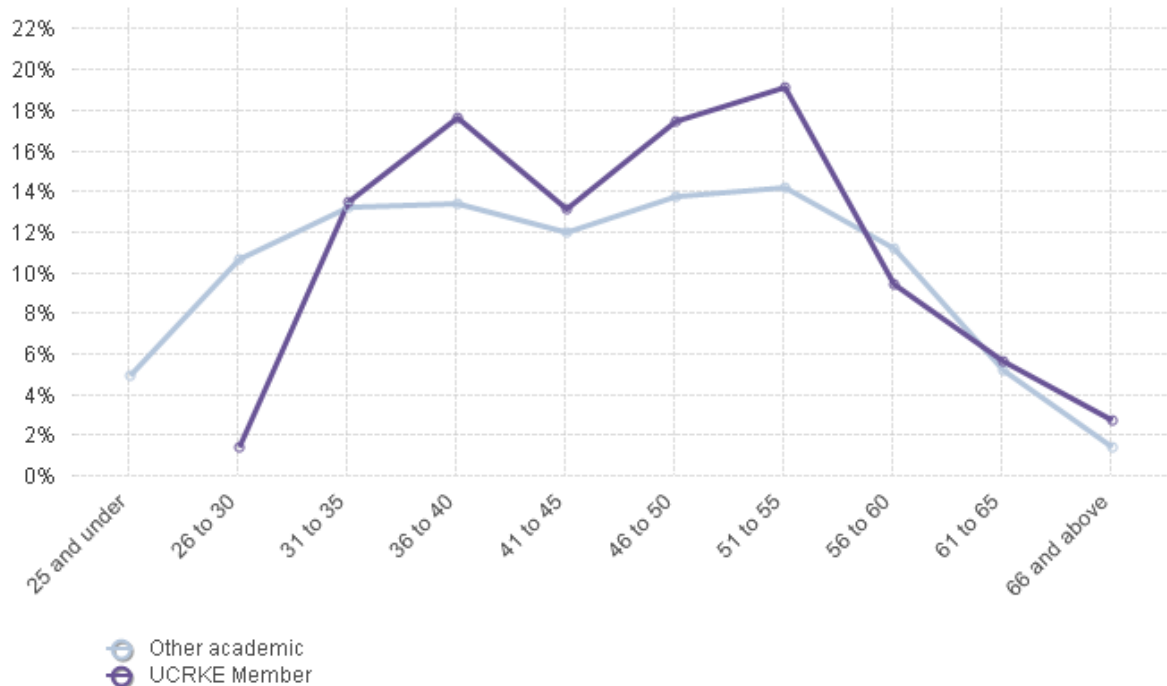
	%		#	
	Disabled	No known disability	Disabled	No known disability
<i>Arts &amp; Humanities</i>	<i>6.2%</i>	<i>93.8%</i>	<i>28</i>	<i>424</i>
Non-members	7.9%	92.1%	18	209
UCRKE Member	4.4%	95.6%	10	215
<i>Business &amp; Law</i>	<i>7.0%</i>	<i>93.0%</i>	<i>25</i>	<i>330</i>
Non-members	6.5%	93.5%	20	288
UCRKE Member	10.6%	89.4%	5	42
<i>Education</i>	<i>4.9%</i>	<i>95.1%</i>	<i>7</i>	<i>136</i>
Non-members	4.9%	95.1%	5	97
UCRKE Member	4.9%	95.1%	2	39
<i>Health, Psychology &amp; Social Care</i>	<i>5.6%</i>	<i>94.4%</i>	<i>12</i>	<i>204</i>
Non-members	5.7%	94.3%	9	149
UCRKE Member	5.2%	94.8%	3	55
<i>Science &amp; Engineering</i>	<i>2.7%</i>	<i>97.3%</i>	<i>9</i>	<i>330</i>
Non-members	3.8%	96.2%	8	203
UCRKE Member	0.8%	99.2%	1	127

Population: all academic staff attached to faculties excluding casual and sessional as at 1<sup>st</sup> December census date. Figures calculated based on headcount. Excludes Cheshire due to small numbers.

### Age Group: a higher proportion of UCRKE members are mid-career

A very low proportion of UCRKE members are in younger age groups, and higher proportions are aged between 36 and 55 compared to all other academic staff.

**Figure 16: Proportion of UCRKE members and non-members by age group**

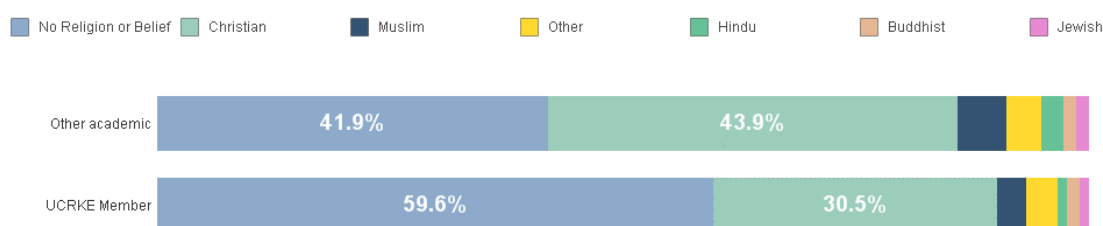


**Figure 17: Number and Proportion of UCRKE members, non-members and all academic staff and academic staff by age group**

Age Group	%			#		
	Non-members	UCRKE Member	All academic staff	Non-members	UCRKE Member	All academic staff
25 and under	0.8%	0.0%	0.6%	9	0	9
26 to 30	5.7%	1.4%	4.3%	62	7	69
31 to 35	10.6%	13.5%	11.5%	114	69	183
36 to 40	13.3%	17.6%	14.7%	144	90	234
41 to 45	13.4%	12.9%	13.3%	145	66	211
46 to 50	16.5%	17.5%	16.8%	178	89	267
51 to 55	18.3%	19.2%	18.6%	197	98	295
56 to 60	14.1%	9.4%	12.6%	152	48	200
61 to 65	6.0%	5.7%	5.9%	65	29	94
66 and above	1.2%	2.7%	1.7%	13	14	27

**Religion or Belief: a higher proportion of UCRKE members have no religion or belief**  
 59.6% UCRKE members have no religion or belief compared to 41.9% of non-members. There are smaller proportions of all other religion or belief groups in the UCRKE population: 30.5% Christian compared to 43.9% non-members; 3.1% Muslim compared to 5.3% non-members; 1.0% Hindu (compared to 2.3%); 1.3% Buddhist (compared to 1.5%) and 1.0% Jewish (compared to 1.3%). Due to small numbers this data is not presented a faculty level to protect anonymity.

**Figure 18: Proportion of UCRKE members, non-members and academic staff overall by religion or belief**



Population: all academic staff excluding casual and sessional as at 1<sup>st</sup> December census date, for whom Religion or Belief data is held. Figures calculated based on headcount

**Figure 19: Number and proportion of UCRKE members, non-members and academic staff overall by religion or belief**

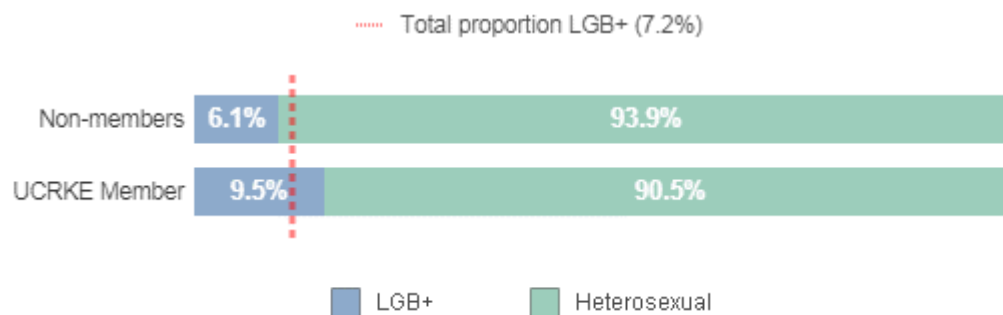
	%			#		
	Non-members	UCRKE Member	All academic staff	Non-members	UCRKE Member	All academic staff
No Religion or Belief	41.9%	59.6%	47.5%	346	229	575
Christian	43.9%	30.5%	39.7%	363	117	480
Muslim	5.3%	3.1%	4.6%	44	12	56
Other	3.8%	3.4%	3.6%	31	13	44
Hindu	2.3%	1.0%	1.9%	19	4	23
Buddhist	1.5%	1.3%	1.4%	12	5	17
Jewish	1.3%	1.0%	1.2%	11	4	15

Population: all academic staff excluding casual and sessional as at 1<sup>st</sup> December census date, for whom Religion or Belief data is held. Figures calculated based on headcount

## Sexual Orientation: a higher proportion of UCRKE members identify as Lesbian, Gay, Bisexual or Other

9.5% UCRKE members identify as Lesbian, Gay, Bisexual or Other, compared to 6.1% of non-members (which is 7.2% all academic staff overall). Due to small numbers this data is not presented a faculty level to protect anonymity.

**Figure 20: Proportion of UCRKE members, non-members and academic staff overall by sexual orientation group**



Population: all academic staff excluding casual and sessional as at 1<sup>st</sup> December census date, for whom sexual orientation data is held. Figures calculated based on headcount

**Figure 21: Number and proportion of UCRKE members, non-members and academic staff overall by religion or belief**

	%			#		
	Non-members	UCRKE Member	All academic staff	Non-members	UCRKE Member	All academic staff
Heterosexual	93.9%	90.5%	92.8%	781	344	1125
LGB+	6.1%	9.5%	7.2%	51	36	87
Unknown/refused				247	130	377

Population: all academic staff excluding casual and sessional as at 1<sup>st</sup> December census date, for whom sexual orientation data is held. Figures calculated based on headcount