



## **CODE OF PRACTICE**

**FOR THE SELECTION OF MMU STAFF  
TO THE REF 2014 SUBMISSION**

**July 2012**

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## REF 2014: CODE OF PRACTICE

### 1. Introduction

- 1.1 As part of the University's submission to the REF 2014 we are required to develop, document and apply an internal Code of Practice on the selection of staff included in our submission. This code of practice will be submitted for verification to the REF Equality and Diversity Advisory Panel (EDAP). This code of practice sets out how we will address equal opportunities issues in connection with our submission.
- 1.2 The University's commitment to equal opportunities is set out in MMU's [Equality and Diversity Policy](#), [Vision for Equality and Diversity](#) and [Single Equality Scheme \(SES\)](#) . The implementation of these policies is supported in the [Single Equality Scheme Action Plan](#) including extensive staff development activities, and has informed other strategies such as the Human Resources Strategy.
- 1.3 It is the University's intention that these policies, along with specific guidance issued to institutions (1) and the [Equality Act 2010](#), should guide and inform our submission to REF 2014 and underpin this Code of Practice (the Code).
- 1.4 The University has also committed to the Athena Swan Charter which supports women to progress in Science and Engineering, it is hoped that the Bronze award will be achieved in August 2012.

### 2. Principles

- 2.1 This Code of Practice is underpinned by the following principles:

#### Transparency

The University recognises the need to ensure transparency in the processes of selection of staff for inclusion in REF 2014. To that end the Code will be published on the University's web site and staff briefings and workshops will be held. Special attention will be made to ensuring staff absent from work are also briefed.

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<sup>1</sup> For example Assessment framework and guidance on submissions (*REF 02.2011, July 2011*), Equality briefing for panels (*REF XX July 2011*), Equality impact assessment and Research Excellence Framework (*REF xx September 2011*)

## **Consistency**

Given the size and complexity of the University, it is important for the Code to establish clear principles to ensure consistency and to provide for effective communication to staff. Advice formulated within the designated Research Institutes (RIs), and based on an assessment of individual researchers in terms of the REF criteria adopted by the RI, will be an important aspect of the process of selection of staff for inclusion in the University submission to REF 2014. The RIs are characterised by, amongst other things, the stage they have reached in their development, the different starting points they have in terms of previous assessments and their organisational complexity. It is important that the processes they adopt address the principles in this Code to ensure consistency across the institution and are appropriate to the RI and UoA.

## **Accountability**

The final decision on the selection of staff for inclusion within our REF 2014 submission will be taken by the REF Executive (see paragraph 3.3 below). The decision will take into account the advice received from Research Institutes (RIs), the requirements of this Code and the University's corporate strategies.

## **Inclusivity**

Our corporate strategy sets out our aims for research which include to:

- build on the success of the Research Assessment Exercise in 2008 and increase the research profile of the University;
- continue to increase the numbers and proportion of staff actively engaged in world class research.

We will do this by:

- providing a strong and vibrant trans-disciplinary research environment for staff and students;
- recognising and rewarding staff accomplishments in research through the professor, reader, professorial research fellow and senior research fellow promotion schemes;
- further develop the early career researcher scheme enabling young staff to realise their full potential and ensuring sustainability of research;
- enable and support staff to apply for targeted sources of funding and developing strategic research partnerships.

**3. Roles and responsibilities in relation to REF 2014**

3.1 A range of staff will participate in the discussions that contribute to the selection of staff for submission to REF 2014. These will include the Vice Chancellor, the Deputy Vice Chancellor, Deans and Pro Vice-Chancellors, the Director of Research and Enterprise Services (RES), Research Institute Directors (RIDs) and UoA Co-ordinators.

3.2 All staff, including designated members of staff appointed to perform functions in relation to REF 2014, are appointed to posts in the University in accordance with the Code of Practice on Staff Recruitment and Selection (R&S Code). This R&S Code reflects our Equality and Diversity Policy which has undergone a full Equalities Impact Assessment (EIA). The R&S Code is supported by mandatory training for all staff involved in the recruitment process.

This mandatory training includes courses entitled:

- "Chairs of selection panels" (this course covers equality and diversity aspects of selection, the operation of the R&S Code and interviewing skills); and
- "Members of selection panels" (this course covers equal opportunities based interviewing skills).

**3.3 Roles and responsibilities in relation to REF 2014**

For the purposes of this Code the relevant staff involved in the REF are:

<b>REF Executive</b>		
responsible for: <ul style="list-style-type: none"> <li>• determining the final submission to REF 2014; and</li> <li>• advising the Directorate on all other matters concerning the University's engagement with REF 2014.</li> </ul> <p>The REF Executive must be satisfied when approving the University's submission to REF 2014 that this Code has been followed in the processes for the selection of staff for inclusion in the University's submission to REF 2014.</p>		
<b>Chair</b>	<b>Members</b>	<b>Secretariat</b>
Vice Chancellor	Deputy Vice Chancellor PVC – Research and Enterprise Director of Research and Enterprise	REF Manager

**REF Strategy Group**

responsible for:

- ensuring that information relevant to REF is disseminated to academic/research staff;
- developing an Institutional REF timeline;
- identifying strengths and weaknesses in draft REF submissions and where weakness are identified provide advice and mentoring to improve submissions;
- seeking guidance and intelligence from relevant institutions/bodies to ensure that the group and University remains informed of REF guidance, criteria and initiatives; and
- overseeing the submission of data to HEFCE, which will involve for example interaction with Finance, HR and the Library services;

<b>Chair</b>	<b>Members</b>	<b>Secretariat</b>
PVC Research and Enterprise	RID Directors	REF Manager

**UoA Submission Action Group**

Responsible for:

- providing review and grading for each output submitted by staff with the input of external examiners;
- co-ordinating and managing a series of mock REF exercises; and
- co-ordinating the development of draft REF submissions according to the agreed internal timetable

<b>Chair</b>	<b>Members</b>	<b>Secretariat</b>
Appropriate RI Director	UoA Co-ordinators	Campus SAS
	Subject experts	
	External subject experts (when appropriate)	

3.4 The Director of RES and the HR Director, through the Head of Organisation Development, Training and Diversity (ODTD) and the Equality and Diversity (E&D) Manager will be responsible for advising on the application of the Code.

3.5 RIDs and Centre/UoA Co-ordinators will be responsible for ensuring that they conform to the Code in the conduct of their roles and for ensuring that staff for which they have responsibility are aware of and conform to the Code. In particular, RIDs and Centre/UoA Co-ordinators will be responsible for ensuring that:

- criteria adopted to inform advice on which staff will be recommended for inclusion in the submission to REF 2014 are free from unlawful discrimination<sup>2</sup>
- the main guidance documents produced by the RI/Centre/UoA which set out the criteria referred to above each include an equal opportunities statement consistent with this Code;
- all staff within the RI/Centre/UoA, irrespective of level of membership, are made aware of the criteria and arrangements for assessment through the publication of a statement of intent and that this statement of intent is available on the respective RI's web site;
- staff within each RI/Centre/UoA are made aware of the statement of intent;
- decisions taken in committees or other formal meetings which they chair are properly recorded;
- staff who are considered for inclusion in the submission to REF 2014 will be notified and will receive feedback, in a timely manner, that is designed to assist them to meet the criteria for inclusion if possible; and
- where external experts are selected to advise during the process of formulating advice for inclusion, they are chosen using objective criteria free from unlawful discrimination. Selection of external experts will be based on evidence that will normally include demonstrable and substantial experience of the REF process (for example participation in a RAE panel or sub-panel as part of an earlier RAE, or a high profile researcher in a research led university) and demonstrable understanding of the UK research framework.

#### **4. Selection of Staff for Inclusion in the submission to REF**

- 4.1 It has been noted above that RIs differ in character and structure for a variety of reasons. It is essential that the process of formulating advice within RIs operates in a consistent manner, based on common principles. Nevertheless, there is recognition that the legitimate differences between RIs might result in some differences in the detail of arrangements adopted within individual RIs.

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<sup>2</sup> The term 'unlawful discrimination' will for the purposes of this Code mean not discriminate unlawfully against individuals on the grounds of fixed-term and/or part-time workers, age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.

- 4.2 Decisions about the inclusion of staff in the submission to REF 2014 will be based on criteria that are free from unlawful discrimination. Fixed-term workers, part-time workers and contract research staff will not be excluded from consideration for selection in relation to the submission to REF 2014 by reason of their fixed-term, part-time contract status.
- 4.3 As noted in 4.1 above, the criteria used in the formulation of advice about staff for REF submission in relation to each RI will not be identical. Often, the criteria adopted will be those published by relevant panels and sub panels. Examples of appropriate criteria for the purposes of REF 2014 include: quality of research outputs (measured in terms relevant to the discipline to which they relate); the generation of income to support research and the number of research students.
- 4.4 Consideration of whether or not a member of staff meets criteria for selection for REF submission must take account of equalities issues and complex circumstances that may have a bearing on the volume of research undertaken and published by the individual<sup>3</sup>. Appendix A includes guidance on these issues
- 4.5 Each RI will, with the assistance of the Director of Research and Enterprise Services establish a steering group that will formulate its advice on which staff should be included. It would be normal for this group to include:
- The RID;
  - Centre co-ordinators
  - UoA co-ordinators and/or research group leaders as appropriate; and
  - The Director of RES.
- 4.6 The membership of this group will be published on the relevant RIs web site and its meetings and decisions noted.
- 4.7 An iterative process involving a number of rehearsals starting in 2011 will inform the selection of staff for submission to the REF. These rehearsals will be mindful of the working methods of the REF panels and, when appropriate, will seek the confidential advice of external experts.
- 4.8 The RID will write to individuals in their RI to inform them whether they will be recommended to the REF Executive for inclusion. Where an individual is informed that they will not be recommended or that they are a borderline case, they will be given feedback on the information they have submitted. The feedback will be designed to assist the individual to improve his/her chances of inclusion wherever possible. Feedback will be provided as soon

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<sup>3</sup> REF 2014, Guidance on Submissions: HEFCE REF 03.11 Panel Guidance and ECU Guidance on Complex Circumstances ( due Jan 2012)

as reasonably practicable, and no later than one month following the written notification in relation to the recommendation to the REF Executive.

- 4.9 It is recognised that, for strategic reasons, not all staff who have the minimum number of outputs will be returned in the REF 2014 submission. REF guidance refers to HEIs returning 'excellent research', the MMU Strategy for Research Excellence Framework has been published on the REF 2014 Intranet site <http://www.mmu.ac.uk/staff/ref/strategy.php> to help brief staff on our approach.
- 4.10 Decisions on inclusion in REF 2014 and decisions on support for research activities are based on different criteria and are quite separate. The University recognises that many of its staff who will not be included in our submission to REF 2014 are making an important contribution to the work of the University as active researchers. Consequently, staff members who are not included in the submission for REF 2014 will continue to be eligible to apply for support for their research activity within the University and externally.
- 4.11 The decision on which staff will be included in the submission to REF 2014 will be taken by the REF Executive. This decision will be reached acting on advice and information submitted by the RIs and the Director of RES. Records will be kept of this process. The advice from an RI, although channelled through the relevant RID, should not be the advice of one person acting alone. Regardless of the differences in criteria which will be applied by each RI to identify potential candidates for inclusion in the REF submission, it will be the responsibility of the REF Executive to verify that the decisions made in relation to selection are consistent and in keeping with the principles outlined in this Code and the University's corporate strategies.
- 4.12 If an individual has sought inclusion to the REF submission, they will be notified by April 30<sup>th</sup> 2013 of the REF Executive's provisional decision on whether they will be included and if so, to which UoA they are to be submitted.

Individuals who are informed that they will not be included, will be entitled to seek further information about, or clarification of, the decision from their Research Institute Director and the Director of RES.

- 4.13 Consistent with normal academic practice, individuals do not have the right to appeal against issues arising from academic judgements made by those involved in the process of selection.
- 4.14 Individuals may appeal only if their grounds of appeal are in relation either to 1) the application of the Code of Practice on the selection of staff, or 2) potential discrimination. The MMU REF2014 Appeals procedure is set out in Appendix B of this document.

## 5. Individual Circumstances

- 5.1 As a key measure to support equality and diversity in research careers, individuals may be returned with fewer than four outputs without penalty in the assessment, where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. This measure is intended to encourage institutions to submit all their eligible staff who have produced excellent research.
- 5.2 Decisions about the inclusion of staff in the submission to REF 2014 will be based on criteria that are free from unlawful discrimination. The University will take into account equalities issues that may have a bearing on the volume of research undertaken and published by individuals.
- 5.3 HEFCE REF have produced guidance on how the main panels and sub-panels will deal with circumstances that might have constrained an individual's ability to produce four outputs or work productively throughout the assessment period. The University, through the MMU Individual Circumstances Panel, will consider cases of individual staff circumstances which may permit their inclusion in a REF 2014 submission with fewer than four research outputs. There are two types of individual circumstances: clearly defined circumstances and complex circumstances.

### Clearly defined circumstances

- 5.4 Circumstances with a clearly defined reduction in outputs are the following:
- qualifying as an Early Career Researcher;
  - absence from work due to working part-time, secondments or career breaks; and
  - qualifying periods of maternity, paternity or adoption leave

### Complex Circumstances

- 5.5 Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:
- i. Disability. This is defined in Appendix C, Table 1 under 'Disability';
  - ii. ill health or injury;
  - iii. mental health conditions;

- v. constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity;
- vi. health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding);
- vii. childcare or other caring responsibilities;
- viii. gender reassignment; and
- viii. Other circumstances relating to the protected characteristics covered by the Equality Act 2010. These are listed in Appendix A

5.6 The process that the University will follow in considering Clearly Defined and Complex Circumstances cases is set out in Appendix A.

## 6. Staff training

6.1 The University provides a range of courses in support of its Equality and Diversity Policy which are mandatory for staff, including designated members of staff appointed to perform functions in relation to REF 2014. These include courses entitled:

- "Equal Opportunities and Diversity Essentials " (mandatory for all staff);
- "Managing Diversity e-learning" (mandatory for all managers and supervisors);
- "Disability Equality Action Training for Managers" (mandatory for all managers and supervisors);
- "Disability Equality Action Training for staff " (mandatory for all staff)

6.2 Participation in these courses is reviewed through the Professional Development and Review (PDR) Scheme.

6.3 The University is also providing staff awareness sessions on the REF 2014 Code of Practice. These sessions will ensure that the principles of transparency, consistency, accountability and inclusivity have supported the development of the Code. The sessions also provide an opportunity for staff to understand the changes from the RAE 2008 Code, become familiar with the revised Code of Practice, eligibility and the guidance on submissions in terms of complex circumstances.

- 6.4 All MMU staff involved in the REF 2014 submission process have responsibility for ensuring that they have undertaken the equality and diversity training provided by the University designated as mandatory for their role, and have or will have attended the briefing and other activities arranged to cover the equality and diversity aspects of REF 2014. The Equality and Diversity team will monitor attendance and completion of the required courses.

## 7. Equality Impact Assessments

### MMU EIA Methodology

- 7.1 MMU has an established process <http://www.mmu.ac.uk/humanresources/equalities/eiat/pdf/eia-guidance.pdf> for the equality impact assessment (EIA) of its policies. The University will undertake an EIA of its selection of staff for the REF 2014 in line with that process. The EIA will help to review the effectiveness of the draft Code, training for panels, procedures for dealing with individual circumstances and in the review of data profiles.

The EIA will include:

- analysis of RAE 2008 Equality Analysis and Recommendations;
- an assessment of the effectiveness of communication and consultation methods used;
- assessment of the process for selection of staff to determine whether 1) it poses any barriers to eligible staff from any particular group thresholds for selection and 2) to determine whether there might be any negative impact on certain groups who may be eligible to submit reduced outputs
- review of equality data for staff eligible for REF 2014 (from HESA)
- identification and application of lessons learned from the mock assessments;
- equality analysis on submissions for the REF;
- equality analysis on successful submissions to determine whether they are they representative of the MMU population for different groups;
- equality analysis on unsuccessful submissions;
- equality analysis on appeals;
- engagement with staff on the selection policy for Ref 2014; and
- the equality considerations taken into account in the final submissions.

7.2 The University has carried out an initial equalities assessment of its selection policy, which has informed the development of this Code of Practice. The EIA screening form is attached at Appendix D.

7.3 The University will review the EIA as data becomes available from each RI, and will review the data further when:

- identifying eligible staff who are likely to be selected
- considering individual circumstances

- when considering appeals, and
- when preparing the final submission

7.4 Consultation with staff from the protected characteristics on the proposed Code of Practice, the procedure for selecting staff for the submission and the arrangements for dealing with individual circumstances and for appeals will be carried out using a variety of methods and approaches which include:

- seeking feedback from staff from protected equality groups from the mock exercise;
- consulting with the University's equality fora and other staff networks; and
- involving representative staff in policy and procedure formulation.

**Gill Hemus**  
**Director of Human Resources**

**Josie Elson**  
**Head of Organisation**  
**Development, Training and Diversity**

**July 2012**

## Appendix A

### Individual Circumstances

#### 1. Disclosure of individual staff circumstances – MMU Process

- 1.1 The guidance set out in this code will be used to ensure that REF panels deal consistently with individual circumstances that constrain an individual's ability to produce four outputs or work productively throughout the assessment period.
- 1.2 Members of University staff will be given sufficient information at awareness raising sessions and other communication channels to enable them to make an informed decision about their personal circumstances.
- 1.3 The University's procedure to enable staff to disclose their circumstances with the appropriate degree of confidentiality is as follows:

#### Clearly defined circumstances

- 1.4 All staff potentially eligible for selection will be asked to complete an Individual Circumstances Disclosure form. Once completed these forms should be sent in confidence to the Head of ODTD.
- 1.5 Cases will be considered by the MMU REF Individual Circumstances Panel. The membership of the Individual Circumstances Panel is:
  - the Director of Human Resources;
  - the Deputy Vice Chancellor for Strategic Planning;
  - the Director of RES; and
  - the Head of ODTD
- 1.6 The panel will take into account the following factors where they have had a material impact on an individual's ability to produce the required number of outputs in the period from 1<sup>st</sup> January 2008 and 31<sup>st</sup> October 2013:
  - absence due to maternity/adoption leave ;
  - women returning to work after maternity leave on a part-time basis in the period between 1<sup>st</sup> January 2008 and 31<sup>st</sup> October 2013;
  - adoptive parents returning to work after adoptive leave on a part-time basis in the period between 1<sup>st</sup> January 2008 and 31<sup>st</sup> October 2013;
  - part-time work;
  - disability (within the meaning of the Equality Act 2010), including temporary incapacity that lasts for or is likely to last for at least 12 months;

- staff who entered the profession during the period 1 January 2008 to 31<sup>st</sup> October 2013;
- absence due to ill-health or injury;
- absence due to a career break; or
- absence due to a secondment from the University to any other institution or organisation.

1.7 For the avoidance of doubt, any periods of absence or research inactivity of less than 3 months in the assessment period will not be deemed to have had a material impact on an individual's ability to meet criteria used in relation to the selection process if the absence was due to:

- ill health or injury;
- a career break; or
- secondment from the University.

1.8 In addition to the factors set out above, the University will also be mindful of health and safety restrictions imposed on pregnant and breastfeeding women which may have prevented them from undertaking some types of research or fieldwork during the period 1 January 2008 to 31<sup>st</sup> October 2013.

#### 1.9 Category A and C staff

Category A and C staff may be returned with fewer than four outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively throughout the assessment period:

- a. Clearly defined circumstances, which are:
  - i. qualifying as an Early Career Researcher <sup>4</sup>;
  - ii. part-time working;
  - iii. maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as 'complex' as described at sub-paragraph b below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty);
  - iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

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<sup>4</sup> ECR defined as members of staff who meet the criteria to be selected as Category A or C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009

### **Complex Circumstances**

- 1.10 Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:
- i. Disability. This is defined in Appendix C under 'Disability';
  - ii. ill health or injury;
  - iii. mental health conditions;
  - iv. constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding);
  - v. childcare or other caring responsibilities;
  - vi. gender reassignment; and
  - vii. other circumstances relating to the protected characteristics listed at paragraph 190.
- 1.11 For clearly defined circumstances, the panel criteria statements will provide tariffs to determine the number of outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstance (or combination thereof).
- 1.12 Case that include a combination of clearly defined and more complex circumstances relating to an individual will be considered as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances.
- 1.13 Where an individual is submitted with fewer than four outputs and their research has not been constrained by circumstances as described in paragraphs 1.4 to 1.10, any 'missing' outputs will be graded as 'Unclassified'.

## **2. Data protection and confidentiality**

- 2.1 All information provided for this purpose will be kept confidential to the MMU REF Individual Circumstances Panel, the UK REF Equality and Diversity Advisory Panel (EDAP) and the main panel chairs (for complex circumstances). All REF

panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individual's circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998.

- 2.2 REF sub-panels will know that there are complex circumstances and will receive a decision about the appropriate number of outputs to reduce without penalty, but will not have access to further information about the circumstances. These arrangements will enable individuals to disclose the information in a confidential manner, and enable consistent treatment of complex circumstances across the exercise.
- 2.3 Information submitted will be used only for the purposes of assessing the REF submission in which it is contained, will not be published at any time and will be destroyed on completion of the REF.

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**Covering note for Individual Circumstances form**

To: All members of staff eligible for return in REF 2014

From: [insert]

Subject: **REF 2014, consideration of individual staff circumstances**

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MMU is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in MMU's Code of Practice which can be found at [insert web address].

To ensure that REF processes are fair, MMU is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected will also inform MMU's monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the institution, in line with the UK REF Assessment Framework and Guidance on Submissions

[http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf) and will take the following circumstances into consideration:

- early career researcher (started career as an independent researcher on or after 1 August 2009);
- part time employment;
- career break or secondment outside of the higher education sector in which the individual did not undertake academic research;
- maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters);
- disability (including conditions such as cancer and chronic fatigue);
- ill health or injury;
- mental health conditions;
- constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work;
- other caring responsibilities (including caring for an elderly or disabled relative); and
- gender reassignment

If your research output has been affected by other circumstances that are not listed above (this does not include teaching and administrative duties), please detail them on this form as they may be considered.

**In determining the number of outputs staff are required to submit, we will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at [www.ref.ac.uk](http://www.ref.ac.uk) under 'Publications'.**

**What action do I need to take?**

If you are eligible for REF submission you are encouraged to complete the attached form. If further information is required about any circumstances disclosed, you will be contacted by the Head of ODTD or a member of her team if you have given your consent for this.

**Who will see the information that I provide?**

Within the institution, the information that you provide will be seen only by the members of the MMU REF Individual Circumstances Panel. These individuals will observe confidentiality and information will be stored securely.

Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs:

- For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998.

The REF Assessment Framework and Guidance on Submissions

[www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/), requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances.

**What if my circumstances change?**

MMU recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached form at [insert web address].

**Individual Staff Circumstances Disclosure Form**

<b>Name</b>	
<b>Department</b>	
<b>Research Institute</b>	

**Section one:**

**Please select one of the following:**

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two, three and four)

**Section two:**

**Please select as appropriate:**

- I would like to be contacted by the Head of ODTD or her representative to discuss my circumstances and requirements and/or the support provided by MMU. My contact details for this purpose are:

<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

- I do **not** wish to be contacted by the Head of ODTD or her representative

**Section three**

I wish to make the University aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013:

Please provide information required on the circumstance/s that apply to you and continue on a separate sheet of paper if necessary:

<b>Circumstance</b>	<b>Information required</b>
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
<b>Information:</b>	
Career break or secondment outside of the higher education sector	Dates and duration in months
<b>Information:</b>	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
<b>Information:</b>	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information:</b>	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <u>in addition to</u> the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

Please select as appropriate:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will be used for REF purposes and will be seen by members of the MMU REF Individual Circumstances Panel.
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the REF Equality and Diversity Advisory Panel. Where permission is not provided MMU will be limited in the action it can take.

Signature: ..... Date: .....

(Staff member)

**For official use only**

Following consideration of the personal circumstances described above, the MMU REF Individual Circumstances Panel:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. [Subject to specified institutional criteria]. Rationale for the proposed number of outputs:  
*e.g. this decision is based on the tariffs outlined in the panel criteria.*
  
- Requires further information of the circumstances described as follows:  
*e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*
  
- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:  
*e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.*

If you wish to appeal against the decision of the MMU REF Individual Circumstances Panel you will need to do so by [insert date]. Details of the appeals process can be found at [insert web address].

Signature: ..... Date: .....  
(Director of Human Resources and Chair of the MMU REF Individual Circumstances Panel)

Signature: ..... Date: .....  
(Director of Research and Enterprise Services)

## Appendix B

### REF Appeals procedure

1. All staff eligible for REF 2014 have the right to appeal against non-selection for MMU's submission where this relates to the application of the Code of Practice on the selection of staff, or potential discrimination.
2. Appeals will be heard by the MMU REF Appeal Panel, the members of which are the Director of Human Resources (Chair) and the Pro Vice-Chancellor for Research.
3. The appeal must be submitted in writing, stating the full grounds of appeal, within ten working days of the date on which the decision was issued.
4. 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.
5. 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.
6. The appeal should be submitted to the Director of Human Resources 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.
7. The Director of HR will invite the employee to attend a meeting to discuss the appeal normally within 10 working days of the date of receipt of the written appeal.
8. 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.
9. The Director of HR will be provided with a copy of all relevant documentation. This must be provided by the appellant at least 5 working days before the appeal hearing.
10. The appeal hearing meeting will be chaired by the Director of HR and will be attended by Pro Vice-Chancellor for Research, the appellant, his/her employee representative, and a representative from the HR Department (note taker).

11. Following the appeal hearing the Appeal panel may:

- interview any witnesses if appropriate; and
- interview the manager who rejected the submission
- gather (where appropriate) additional documentary evidence.

12. 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.

13. 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.

## Appendix C Summary of equality legislation

The equality legislation the university has to comply with generally, will need to be taken into account when preparing MMU's REF 2014 submissions. A summary of this legislation is set out in **Table 1** below and panel chairs, members and secretaries have received an equality briefing about this legislation.

The briefing advised employees involved with REF submissions to develop working methods and assessment criteria that encourage panels to submit the work of all of their excellent researchers, including those whose ability to produce four outputs or work productively throughout the assessment period had been constrained for reasons covered by equality legislation.

**Table 1: Summary of equality legislation**

Age	<p><b>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</b></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 submitting him/her because of his/her age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF is not limited to young people.</p>
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Disability	<p><b>The Equality Act 2010 prevents unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</b></p> <p>A person is considered to be disabled 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. Day-to-day activities are taken to mean activities that people generally, not individuals specifically, 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>People who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p>
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	<p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
<p>Gender reassignment</p>	<p><b>The Equality Act 2010 protects from discrimination 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 of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</b></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>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs.. Information about the member of staff will be kept confidential.</p>
<p>Marriage and civil partnership</p>	<p><b>Under the Equality Act 2010, individuals are protected from unlawful discrimination 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.</b></p> <p>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<p>Pregnancy and maternity</p>	<p><b>Under the Equality Act 2010 women are protected from unlawful discrimination related to pregnancy and maternity.</b></p> <p>Consequently researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in the 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>
<p>Race</p>	<p><b>The Equality Act 2010 protects HEI staff from unlawful discrimination connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are</b></p>

	<p><b>also protected if they are perceived to be or are associated with a person of a particular race.</b></p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).</p>
<p>Religion and belief including non-belief</p>	<p><b>The Equality Act 2010 protects HEI staff from unlawful discrimination to do with 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.</b></p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions 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>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p><b>The Equality Act 2010 protects HEI staff from unlawful discrimination to do with sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</b></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 women’s ability to work productively will be taken into account.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters are entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave 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 researchers</p>

	<p>who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>HEIs need to be wary of selecting researchers by any criterion that it 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>Sexual orientation</p>	<p><b>The Equality Act 2010 protects HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</b></p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.</p>



## APPENDIX D

Form: EIA1

## Equality Impact Assessment/Equality Analysis Checklist

Follow this EIA Checklist step-by-step guidance when assessing a new or existing policy/service:

- Complete **Sections A – C** then stop and decide next steps
- Guidance on Consultation can be found in **Appendix A**
- Guidance on forming an action plan from consultation can be found in **Appendix B**
- Guidance on recording a case study can be found in **Appendix C**
- Guidance on reviewing the policy/service can be found in **Appendix D**

Please ensure you read the [EIA guidance notes](#) and [MMU's Policy Framework](#) before attempting to complete this form. If you require further help, please contact the [Equality and Diversity Team](#) via:

**Wendy Kenyon**    Equality & Diversity Manager    **Extension 6294**  
Email [w.kenyon@mmu.ac.uk](mailto:w.kenyon@mmu.ac.uk)

**Mona Patel**    Equality & Diversity Officer    **Extension 3301**  
Email [mona.patel@mmu.ac.uk](mailto:mona.patel@mmu.ac.uk).

Email    [equalities@mmu.ac.uk](mailto:equalities@mmu.ac.uk)

EIA Website    [www.mmu.ac.uk/humanresources/equalities/eiat/](http://www.mmu.ac.uk/humanresources/equalities/eiat/)

**Section A: About the Policy**

<p><b>1. Title of policy being developed/revised:</b></p>	<p>Click here to enter text.</p>		
<p><b>2. Policy type</b> (to tick box double click and chose 'checked')</p>	<p><b>New</b></p> <p><input checked="" type="checkbox"/></p>	<p><b>Revision</b></p> <p><input type="checkbox"/></p>	<p><b>Review</b></p> <p><input type="checkbox"/></p>
<p><b>3. Which category does this document fall into?</b> (to tick box double click and chose 'checked')</p>	<p><b>Policy</b></p> <p><input type="checkbox"/></p>	<p><b>Code of Practice</b></p> <p><input checked="" type="checkbox"/></p>	<p><b>Guidance/Guidelines</b></p> <p><input type="checkbox"/></p>
	<p><b>Procedure</b></p> <p><input type="checkbox"/></p>	<p><b>Regulation</b></p> <p><input type="checkbox"/></p>	<p><b>Service/Practice</b></p> <p><input type="checkbox"/></p>
	<p><b>Strategy</b></p> <p><input type="checkbox"/></p>	<p><b>Other (please give details)</b></p> <p><input type="checkbox"/></p>	
<p><b>4. Directorate / Dept / Division</b></p>	<p>Human Resources and Research and Enterprise Services (RES)</p>		
<p><b>5. Who is responsible and the developer for this policy?</b></p>	<p>Josie Elson, Head of ODTD</p>		
<p><b>6. Names and roles of staff involved in completing this checklist:</b></p>	<ul style="list-style-type: none"> <li>• Josie Elson, Head of ODTD</li> <li>• Dave Raper, Director of Research and Enterprise Services</li> <li>• Vicci Jarman, Equality and Diversity Co-ordinator</li> </ul>		
<p><b>7. What are the main aims of this policy?</b> (If there are associated objectives, please explain e.g. National Service Framework)</p>	<p>To set out how the University will select staff for inclusion in the REF 2014 and how it will address equal opportunities issues in connection with our submission. The code of practice sets out the approach that should be taken to the selection of staff for inclusion. This should prevent any unlawful discrimination on any of the 9</p>		

protected characteristics.  
The MMU REF Individual Circumstances Panel will consider cases where an individual, due to complex circumstances, may be recommended for a reduction in the number of outputs without penalty

## Section B: Equality Relevance

8. Does the policy involve, or have consequences for students, employees or other people?	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
<p>9. If yes, then the policy is equality relevant so please state who will be affected. If no, you can skip sections C to E. <i>The majority of MMU policies are equality relevant because they affect students or staff in some way.</i></p>	Academic staff.	

## Section C:

### The general Duties under the Equality Act 2010

<p>To eliminate discrimination, harassment and victimisation and all other prohibited conduct</p>	<p>To advance equality of opportunity and foster good relations between people from different groups</p>
<p>Based on the evidence<sup>5</sup> 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'.</p> <p>You should also state what actions will be taken to <b>mitigate</b> that negative impact, i.e. what can the University do to minimise the negative consequences of its decision/action.</p>	<p>Can the policy/project help to advance equality of opportunity or foster good relations in any way?</p> <p>This involves tackling prejudice and promoting understanding between people from different groups.</p> <p><b>If yes, please tick 'Positive Impact'</b></p>

<sup>5</sup> **EVIDENCE** A lack of information is never an excuse for not analysing the effect on equality, as some evidence will almost always be available. Where it isn't available, take steps to gather it.

and provide details explaining how in the table below.

If there are **neither positive nor negative implications** for any one group of people compared to others please tick '**Neutral**'.

PROTECTED CHARACTERISTIC (PC)	POSITIVE IMPACT	NEGATIVE IMPACT	NEUTRAL	DON'T KNOW	REASON / COMMENT
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><i>Consider impact on different ages: young people, Old people etc.</i></p> <p>Early Career Researchers are included as a group who will be considered under Clearly Defined Circumstances by the MMU REF Individual Circumstances Panel.</p>
Disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><i>Consider infrastructural, social and attitudinal barriers</i></p> <p>Periods of disability related absence, ill health or mental illness will be considered as Complex circumstances cases and will be considered by the MMU REF Individual Circumstances Panel.</p>
Gender Reassignment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><i>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.</i></p> <p>HEFCE/ECU Guidance on complex circumstances will be followed by the MMU REF Individual Circumstances Panel in considering cases where the member of staff has undergone or is undergoing gender reassignment and where this has impacted on their</p>

					ability to produce 4 outputs. All MMU REF staff will be trained in equality and diversity.
<b>Marriage &amp; Civil Partnership</b>	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	It is unclear whether the Code will have any impact on this protected characteristic.
<b>Pregnancy and Maternity</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<i>Consider pregnant women, women who are breastfeeding, fathers on paternity etc.</i> HEFCE/ECU Guidance on clearly defined circumstances in relation to periods of maternity or adoption leave will be followed. Guidance on complex circumstances will be followed by the MMU REF Individual Circumstances Panel in considering cases where the member of staff has experienced constraints related to pregnancy or maternity and this has impacted on their ability to produce 4 outputs.
<b>Race</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<i>Consider potential impact on people from different ethnic groups, nationalities, travellers, languages etc.</i> It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.
<b>Religion or Belief</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<i>Consider people with different religious/faith beliefs or those with none</i> It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.
<b>Sex / Gender</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>Consider men and women with different working arrangements e.g. PT, shift-working, with dependents/carer responsibilities etc.</i>

					HEFCE/ECU Guidance on clearly defined circumstances and on complex circumstances will be followed by the MMU REF Individual Circumstances Panel in considering cases where the member of staff has experienced constraints related to dependent/carer responsibilities, career breaks, part-time working etc and this has impacted on their ability to produce 4 outputs.
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<i>Consider Bisexual, Gay, heterosexual or lesbian people.</i> It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.

**Was there a negative impact or are you unsure?**  
Please contact the E&D team ASAP on

**Was the impact neutral?**  
If so, please move onto **Section D** of form

**Was there a positive impact?**  
If yes, please complete

**Section D: Implementation**

10. Who is responsible for Implementing the Policy?	The MMU REF Executive, REF Strategy group, individual Research Institute Directors, UoA Submission Action group, MMU REF Individual Circumstances Panel.
11. How will the Policy be Implemented? e.g. management guidance and training – please attach implementation plan	Initial training on the draft Code has already been given to RIDs and UoA co-ordinators and other staff involved in the REF. Further training will be given at various stages as we go through the REF preparation process.

<p>12. What needs to be done to help the people implementing this policy to do so fairly and consistently?</p>	<p>Brief the staff involved in the REF submission process. Train those involved in making judgements about individual circumstances. Keep all staff involved in the process up to date with latest guidance and case studies.</p>
<p>13. What are the resource implications of implementing this Policy? (<i>including time, role, workload and costs</i>)</p>	<p>Time and cost of briefing and training sessions. Time involved in the MMU REF Individual Circumstances Panel considering cases Time involved for HR Director considering appeals.</p>
<p>14. When will this policy be published and implemented? N.B. As part of our Equality Impact Assessment duty, it is good practice to publish this Equality Impact Assessment Checklist next to approved Policy.</p>	<p>The draft Code of Practice will be published before 31<sup>st</sup> July 2012 and further iterations of the Code will be produced at intervals, following review of the internal rehearsals and mock submissions.</p>

<p><b>Section E: Review</b></p> <p>In order to demonstrate due regard, HEI's must consider the three aims of the general duty when making decisions, for e.g. when:</p> <ul style="list-style-type: none"> <li>a) Developing, evaluating and reviewing policies</li> <li>b) Designing, delivering and evaluating services/educational provisions</li> <li>c) Commissioning and procuring services from others</li> </ul>				
<p>15. Who is responsible for monitoring the impact of this policy and when?</p>	<p>Josie Elson</p>	<p><b>Date:</b> ongoing</p>		
<p>16. How will you measure/monitor and evaluate this policy? e.g. more data analysis?</p>	<p>analysis of submission data, submissions to the MMU REF Individual Circumstances Panel. Review of feedback from affected staff via the MMU equality fora and other group.</p>			
<p>17. How will you determine whether the policy had been effectively and fairly applied across the University?</p>	<p>Review of feedback on the application of the Code an analysis of data on submissions.</p>			
<p>18. What is the review date for this policy? (please indicate and state date)</p>	<p>Annually</p>	<p>Bi-annual y</p>	<p>Three years</p>	<p>Five years</p>

<p>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.</p>	<p>Monday, 01 July 2013</p>	<p>Click here to enter a date.</p>	<p>Click here to enter a date.</p>	<p>Click here to enter a date.</p>
	<p><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).</p>			

**Section F: Authorisation**

<p><b>Name &amp; job title of person completing this checklist:</b></p>	<p>Josie Elson, Head of ODTD</p>
<p><b>Date of completion:</b></p>	<p>17<sup>th</sup> July 2012</p>
<p><b>Name &amp; job title of person responsible for monitoring and reporting on the implementation of the actions arising from this checklist:</b></p>	<p>Wendy Kenyon, Equality and Diversity Manager Mona Patel, Equality and Diversity Officer</p>
<p><b>Name &amp; job title of authorised person:</b> (If you have any doubts about the completeness or sufficiency of this equality analysis, you may seek advice from the Equality and Diversity Team - see front sheet for contact details).</p>	<p>Josie Elson, Head of ODTD</p>
<p><b>Date of authorisation:</b></p>	<p>Monday, 23 July 2012</p>
<p><b>Date copied to Equality and Diversity Team:</b></p>	<p>Monday, 23 July 2012</p>