REF2021 Research Excellence Framework

Final EDAP Approved Version Amended after Covid-19 changes to REF)

This Code of Practice (CoP) document describes the process that will be used to determine which eligible staff have significant responsibility for research (SRR) as Independent Researcher (IR) and will be submitted to REF 2021. This process shall apply to all academic staff, regardless of Faculty, Department, School or REF 2021 Unit of Assessment (UoA.) The CoP is based on Liverpool Hope's *Research and Scholarship Development Plan 2014-2020* (agreed by the University's Senate in 2006; amended and agreed in 2009 and then in 2014) and on the published REF rules. Please direct any queries to Mrs Theresa Lewin (lewint@hope.ac.uk); or to Prof. Atulya K. Nagar (PVC Research and Chair of REFSG; atulya.nagar@hope.ac.uk).

Liverpool Hope University:

REF 2021 Code of Practice

LIVERPOOL HOPE UNIVERSITY
175 YEARS OF ACADEMIC EXCELLENCE

This document has a number of coloured images, please only print if necessary and consider grayscale. Alternative formats of this document can be requested from lewint@hope.ac.uk in the Personnel Office.

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REF 2021 CODE OF PRACTICE: LIVERPOOL HOPE UNIVERSITY

The REF (Research Assessment Framework[1]) in terms of independent peer-review, external benchmarking, and income is an important part of Liverpool Hope University's research planning. However, it should be noted that Hope's research culture and aspirations are wider and deeper than REF considerations and is rooted in its own mission priorities and academic environment. The institution's goal is to develop an excellent research culture across its range of academic activities. With a Gold in TEF (Teaching Excellence Framework), Liverpool Hope University (LHU) places equal emphasis on Teaching, and Research and Scholarship; Research-Informed Teaching is central to Hope's academic life and culture.

This Code of Practice (CoP) document describes the process that will be used to determine which eligible staff have *Significant Responsibility for Research* (SRR) as Independent Researcher (IR) and will be submitted to REF 2021. This process will apply to all academic staff, regardless of Faculty, Department, School or REF 2021 Unit of Assessment (UoA.)

Liverpool Hope's CoP document is based on the University's *Research and Scholarship Development Plan* (R&SDP) 2020 which was originally written and approved by the Senate in 2006 and, subsequently, revised and updated for the Senate's approval in 2009. The current R&SDP 2014-2020 was updated and approved by the Senate in December 2014. These foundational documents, which predate Lord Stern's review of REF, has guided the current REF cycle.

Part 1: Introduction and Context

What is REF 2021?

1. The Research Excellence Framework (REF) is an assessment of the research in UK higher education institutions carried out by the national funding bodies. The outcome of the REF informs the allocation of quality research related funding ("QR"). It contributes to the accountability for public funding and demonstrates the benefits of public investment in research and impact.

2. The last REF was REF2014. The submission deadline for REF 2021 is Wednesday 31st March 2021 and the results will be announced in Spring 2022.

3. Submissions are organised into discipline-based "Units of Assessment" (UoA). A brief summary of the submission requirements is given below in Table 1.

[1] The REF is the UK's system for assessing the quality of research in UK higher education institutions. It first took place in 2014 and replaced RAEs (which were held in 1986; 1989; 1992; 1996; 2001, and 2008). The next REF exercise will be conducted in 2021.

REF 2021 Assessment Elements	Description		Weight in the quality profile
Outputs	Outputs produced in the publication period 1.1.2014 – 31.12.2020	The number of outputs required is determined by the total Full Time Equivalent (FTE) of staff submitted.	60%
Impact	Case studies describing impacts achieved during the period 1.8.2013 –31.12.2020	The number of cases required is determined by the total full time equivalent (FTE) of staff submitted. The minimum number required is 2.	25%
Environment	An institutional and a unit-level statement describing the research and impact environment for the period 1.8. 2013 –31.7.2020	1 (common) institutional statement. 1 UoA-level statement.	15%

Table 1: Summary of REF 2021 submission requirements and assessment categories.

4. Submissions are assessed by UoA-specific sub-panels (comprising academics and the users of research). UoAs are grouped under four main panels (A to D), whose role is to foster consistency of assessment. The main panels and UoAs are listed in Appendix A for reference; Appendix H includes key dates and information for the LHU's submission.

5. The outcome of the exercise is expressed as a profile across a five-point scale, from 0* (unclassified) to 4* (world-leading). Outputs of UoAs not individuals are evaluated. The ratings of individual outputs and impact case studies will not be published, nor will the names of submitted staff.

6. More information about REF 2021 can be found on the funding bodies' REF 2021 website, ref.ac.uk; details are also included below in Appendix A. Further details can be obtained by contacting the institutional lead for REF 2021, Professor Atulya K. Nagar (Pro Vice-Chancellor Research), at atulya.nagar@hope.ac.uk; individual UoA Co-ordinators can also provide these details. Important dates for LHU and key activities are included in Appendix G and H. The University's own REF website also contains useful details, notes and tools/software, etc.: www.hope.ac.uk/ref

The Legislative context and Liverpool Hope University's Preparations for REF 2021: broader institutional context

7. Liverpool Hope University (The University) is conducting its preparations[2] for the 2021 Research Excellence Framework (REF 2021) in a transparent, consistent, accountable and inclusive manner in accordance with its values (professionalism, inclusiveness, integrity,

[2] LHU's detailed Planning Schedule for REF (and regular Stocktake exercise) is include in Appendices G and H (key dates); documents such as these are part of regular updates shared with colleagues in the University.

collegial community and academic excellence), existing policies and practices, including the Equality and Diversity (E&D) Framework and the policy and procedures on Dignity and Mutual Respect.

8. This Code of Practice ("The Code") is intended to help The University ensure that these values are upheld in our REF preparations and to support The University in meeting its legal obligations in relation to equality and diversity, in line with the Equality Act 2010. It does not replace any existing University policy. The Code has been drawn up in accordance with the guidance provided by the funding bodies in the following REF 2021 documents[3] published on their website:

REF 2021 Decisions on Staff and Outputs, *REF 2021 Guidance on Submissions (GoS)*; *REF 2021 Panel Criteria and Working Methods*; and, the *Guidance on Codes of Practice*), all of which are available from the funding bodies' REF 2021 website. In addition, the open letter to the sector from the Chair of the funding bodies' Equality and Diversity Advisory Panel (EDAP) has been considered.

9. Important details are highlighted in this document using a shaded box. The Code addresses the following aspects of REF 2021 preparations (as required in the GoS[3]):

   a. Identifying staff with significant responsibility for research (Part 2)

   b. Determining research independence (Part 2 and 3)

   c. The selection of outputs for inclusion in the submission (including the voluntary, confidential disclosure of staff circumstances) (Part 4)

   d. An appeals process (Part 2 and 3)

   e. Equality impact assessment (Part 2; 3; 4; and Appendix E.)

   The Appendices (A to H) at the end of this document contain additional supplementary information.

10. The Code applies to all members of the University involved in REF 2021, both those involved in the preparation of submissions and those who will be included within a submission. The processes and policies described in the Code are common to all, with no Faculty, Department, School or UoA-specific variations. Likewise, there is a single, common appeals process.

11. All Liverpool Hope University staff involved in making decisions concerning the content of the University's REF 2021 submissions will receive role-specific, mandatory training on the content and enactment of the code, plus other relevant University policies and frameworks (e.g. Equality and Diversity; Unconscious Bias training), as appropriate.

12. Where External Advisers (EA) are engaged, the Code will be drawn to their attention, and the need to undertake assessments in a transparent, consistent, accountable and inclusive

[3] https://www.ref.ac.uk/publications/

manner reinforced. External advice may inform decisions on the selection of material for inclusion in the submission. External advisers will not be involved in the processes to identify those with significant responsibility for research or to determine research independence; their role is to provide independent unbiased feedback for improvement of the submission.

13. The University's preparations for REF 2021 is led by the Chair of the REF Steering Group (who is also REF-institutional lead) and supported by Deans and Heads of Schools and Departments. The REF Steering Group (REFSG) is accountable to the Vice-Chancellor and the Rectorate Team (the University's Senior Executive Committee), and feeds into the University's Research Committee (which is a Sub Committee of the Senate.) The REF Steering Group (with academic membership made of UoA coordinators) is responsible for matters relating to REF 2021 (see Appendix C.)

14. Final "Academic Decision" on the submission rests with the Vice-Chancellor who is also the Chair of Senate, Rectorate Team (RT) and the REF-RT Executive group (RRTEG) which is a sub-group of the Rectorate Team (RT) at LHU (see Figure 3 and Appendix C.)

15. The REF Steering and RRTEG Groups combine senior academic leadership and research assessment expertise (including interdisciplinary research and impact) with appropriate professional administrative support. The terms of reference (ToR) and membership of these groups are included in Appendix C.

16. UoA coordinators are responsible for supporting the REF lead and Chair of REFSG in drawing up the submissions and coordinating the process as well as drafting the documents. The Chair of REFSG will make recommendations to the RRTEG, about the content and configuration of these submissions; Appendix C outlines the UoA coordinator's role.

17. As indicated above, the REF is an assessment of research-activity and output in the assessment period. The assessment is based on discipline-based UoAs comprising of academic and research staff whose roles fulfil the submission criteria. **REF is an assessment of the work submitted in a UoA; it is not an assessment of individual members of staff**. The outcome of the REF is published at UoA level only. A list of submitted staff will not be published by REF 2021 as outlined in their guidance documents[3].

18. These governance arrangements (in paragraphs 13-16) were approved via the University's committee structure (Rectorate Team, Research Committee, and University Senate) in July 2014. The committee structure is shown in Figure 3 (see details in Appendix C). The terms of reference for the University's REF 2021 Steering Group, RRTEG and UoA-coordinators include a responsibility to "*promote and monitor ethical practice and ensure all equality and diversity standards are adequately met*". Equality and Diversity training (Appendix E) is already given on regular basis to all members and further training will be undertaken to assist these groups in fulfilling this responsibility, which will include guidance on the interpretation of the equality impact analyses (EIA) that will be undertaken as specified in Appendix E.

19. As the REF rules require, all eligible staff with significant responsibility for research shall be submitted. The University will ensure that its REF 2021 procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals on the grounds of 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. In addition, the University is mindful that fixed-term and part-time employees have the right to be treated equally with comparable employees on open-ended or full-time contracts.

Update since REF 2014

20. The University has continued to build on the actions from its REF 2014 Equality Impact Assessment (EIA), with particular regard to communication and training. Principles of equality, diversity and inclusion are embedded within the University's mission and values and its ongoing commitment as a *collegium* to creating a community where everyone can reach their potential.

21. In addition to a generic enhancement of procedures, a number of specific actions have been undertaken since REF 2014:

- The University has introduced mandatory on-line Equality and Diversity training for all staff and listed REF as a standing item on the University's annual staff induction programme.

- Following feedback from Athena Swan Bronze institutional application, the University has started working towards preparing a re-submission.

- Since its introduction in 2013, we have supported forty-six women through the Aurora Women's' Leadership Programme. Eleven women are currently attending the programme and of the thirty-five who have completed it, nineteen have been promoted and four have left for external promotion opportunities.

- A new "Dignity at Work Framework" is being introduced which includes specific training on sexual harassment.

- A survey on the experiences of BAME staff is being carried out in Spring 2019.

- The University continues to work on the actions outlined in its 2017 and 2018 Gender Pay Gap Reports in its aim to close the pay gap.

- The Personnel Department has carried out an update exercise to improve the protected characteristic data held on all staff.

- The University's promotions processes have been amended to include consideration of staff individual circumstances for staff applying for promotion.

- An improved Maternity Policy was introduced in 2014 which significantly enhanced the occupational pay elements of the provision.

22. Liverpool Hope's Corporate Plan 2020 commits the institution to pursuit of a path of academic excellence in which all Schools/Departments/UoAs shall have research recognised internationally as excellent. The results of the 2014 REF confirm Liverpool Hope's trajectory in this respect[4]. *All staff, whether or not enterable in the REF, are expected to engage in appropriate levels of research and scholarship to underpin their academic and professional practice.* The University's preparations and stated goals for REF 2021 clearly indicate the direction of travel. At a practical level, this translated into such things as the staff development programme offered around research development, the performance review and wider performance management arrangements, funding opportunities and the appointment of experienced high-level researchers to guide and assist less experienced colleagues in research development. Research and Scholarship activity is accounted for in staffing allocation models, features in annual performance review and is part of the wider performance management framework.

23. Hope has consciously and strategically not appointed "research-only" staff (except where they are part of a funded project e.g. externally funded research project). Rather, at Hope research and scholarship is inextricably linked to the curriculum and to teaching. This is a core principle of the Learning, Teaching and Assessment Strategy (approved by Senate in June 2013 and revised and approved in March 2015) and is designed to ensure that the curriculum is informed and influenced by current research and taught by research-active staff. Correlations between staff research/scholarship and curriculum provision are scrutinised in the University's degree programme validation process known as the co-design and approval events. There is a clear expectation that courses are taught by those actively engaged in research and scholarship in the subject area. It is also a norm is that Level M courses are taught by staff who are active researchers with specialism in the area and the expectation for teaching staff is that they either have a doctoral degree (e.g. PhD) or are currently at an advanced stage of completing one. Alternatively, the member of staff must demonstrate an equivalent research-level engagement with the discipline. Research supervision (MPhil, PhD, and EdD) is undertaken only by those who are active researchers with Significant Responsibility for Research in the area in which the dissertation or thesis falls; in the majority of cases this means that one or more members of the supervisory team will have been entered into the 2014 REF and that all supervisors are working towards submission in REF 2021.

Academic Staff (and Contracts) at Liverpool Hope University

Liverpool Hope University has three categories of Academic Staff contracts as below:

24. **Academic "Teaching, and Professional Input/Scholarship (T&P)" staff** on Grade 7 or above (e.g. Professional/Clinical Tutors); they don't have Research as part of their contractual expectations and duties and as such they are not "category A eligible". Academic staff in this category are required to engage in scholarship. They are clearly not "Category A submittable" (please refer to paragraphs 46 to 49 in Part 2.)

[4] As a result of such strategic measures and directions the staff profile has shifted over the period. For example, in the RAE (2008) Liverpool Hope submitted 26% of staff. In REF 2014, 55% of staff were submitted. Hope is now ranked fourth in the North West for research intensity, with 44% of outputs ranked as either world leading or internationally excellent. As an institution committed to research-informed teaching, these developments are significant and can be seen in its achievement of Gold in TEF.

25. **Academic "Teaching and Scholarship (T&S)" staff** on Grade 7 or above – don't have Research as part of their contractual expectations and duties and as such have Significant Responsibility for Scholarship (and not Research); thus, they too currently are not "category A eligible". However, once they demonstrate SRR as IR then they can move into the 3rd category below. The University supports staff in this category to move towards SRR category. Academic staff in this category are required to engage in scholarship. They are currently not "Category A submittable" (please refer to paragraphs 46 to 49 in Part 2.)

26. **Academic "Teaching, and Research and Scholarship (TR&S)" staff** on Grade 7 or above have an expectation to spend their 'R&S workload-time allocation' on Research and/or Scholarship (for example, in some cases Departmental priorities determine that a staff member in this category is required to devote their R&S workload-time allocation on extensive Scholarship related activities.) The University has clearly defined 'Research' and 'Scholarship' in its Research and Scholarship Development Plan 2020 where REF definition of Research is adopted by LHU – see paragraphs 27 to 36 below. This category of Academic staff (TR&S) is "Category A eligible". As will be explained in paragraphs 46 to 49 in Part 2, staff in this category are "Category A submittable" if, and only if, they have SRR as IR. In order to achieve SRR as IR staff in this category are expected to demonstrated that they spend their 'R&S workload-time allocation' on Research such that the outputs meet REF's definition for Research (which is also the definition adopted by the University in its Research and Scholarship Development Plan 2020.) The University supports staff currently not engaged in Research to become "Category A submittable".

Research and Scholarship Development Plan 2020 at Liverpool Hope University

27. Hope is a vibrant and collegial community with high scholarly standards - proud of its past, confident in the present, and ambitious for the future, as it marks 175 years in 2019 since the establishment of its first of three founding colleges.

28. Liverpool Hope University pursues a path of excellence in research, scholarship and collegial life without reservation or hesitation. The University's distinctive philosophy is to '*educate in the round*' *– mind, body and spirit –* in the quest for *Truth, Beauty and Goodness*.

29. After achieving University status in 2005 and Research Degree Awarding Powers in (RDAP) 2009, Liverpool Hope University has been steadily repositioning itself, strengthening its research at the same time as enhancing its excellence in teaching, scholarship, and student support.

30. A report for the Department for Business, Innovation and Skills (BIS) in March 2014 found that the activities supporting the 'recruitment, development and motivation of researchers are critical drivers of research excellence'[5]; Hope fully concurs with this view and has pursued this path since achieving Research-degree Awarding Powers (RDAP) in 2009. Attracting, developing and retaining high quality and committed staff members is of the greatest importance. In the previous REF (2014) cycle it submitted 55% of its staff, a remarkable achievement in such a short time.

[5] Economic Insight, *Growing the Best and the Brightest: The Drivers of Research Excellence* (March 2014), p.4.

31. Research is a central part of Liverpool Hope University's academic life and vision. It sustains and renews intellectual vitality within the staff and student academic community and plays an important role in the creation of a vibrant learning and teaching environment.

32. From the very start of achieving University title (2005) and Research Degree Awarding Powers (RDAP) Hope took a strategic decision to join up research and scholarship, and teaching in the core processes governing staff recruitment, promotion and performance management. It underpins the University's educational philosophy of providing 'research-informed teaching' and its centrality to the Hope *collegium* and to curriculum design. All members of the Hope academic team are expected (in addition to be actively engaged in research and scholarship (R&S), except in a few targeted vocational training areas) to be in possession of a Doctoral level qualification (e.g. PhD/EdD.) The University judiciously appoints scholars who can consistently enhance its academic profile as a community of scholars and contribute to the development of a strong research culture.

33. All academic staff at the University engage in research and scholarship. Hope is also committed to fostering the impact of its research activities beyond the scope of academia, in keeping with its long history as a socially-focused institution that also works with the professions.

34. This developing research excellence builds upon and complements an already well-established reputation for excellence in learning and teaching. Hope's policy is to combine these elements in keeping with the University's stated academic profile as a research-informed University of distinction.

35. As outlined above, Hope places emphasis both on excellence in "Teaching", and "Research and Scholarship" and both are a fundamental part of Hope's academic culture. It conceives these as complementary activities in a rounded higher education, in keeping with its integrated vision of high-quality academic pursuit.

36. All members of staff are expected to engage in "Research and Scholarship". Provision is made for research and scholarship in staff workload allocation.

Mentoring and support for R&S

37. The University is committed to equality and transparency. The PVC (Academic), working with the Personnel Office, has primary responsibility for ensuring that all staff have access to appropriate training and development to enable them to make a continued high-level contribution to the research-informed teaching of the University. The needs of researchers at all career stages are borne in mind and considered in relation to the VITAE Researcher Development Framework. The University supports the principles of the Concordat to Support the Career Development of Researchers.

38. Mentoring and the provision of academic leadership are particularly important for early- and mid-career researchers, and Hope seeks to ensure that all staff are able to benefit from this; as above, the appointment of senior research staff across the disciplines is a key aspect of this strategy. Mentoring and academic leadership may be provided formally (as with postdoctoral appointments) or informally; Hope is also committed to fostering a collegial environment in which informal interchanges between staff are encouraged and facilitated.

Experienced researchers, particularly the Professoriate, are expected to be actively involved in supporting, mentoring and encouraging both new members of staff and other developing researchers. The appointment of Visiting and Adjunct Professors is an important aspect of this strategy.

39. Development is in part facilitated through the Performance Review (PR) system, which is designed to identify areas for academic development and facilitate such. Staff development is also very clearly linked to the University's promotions procedures and policies, which again are designed to encourage and reward staff who assist in the corporate task of meeting the University's clearly stated objectives. Where appropriate this may include seeking to enable staff who wish to undertake a PhD or EdD. The PVC (Academic) is also responsible for other development of staff, through the allocation of research funds, some of which may be used to enable active conference attendance, the convening of colloquia and conferences, and other research-related developmental activities.

40. Staff are encouraged and supported to apply to external grant schemes which resource blocks of Consolidated Research Time (CRT). Staff may also be allocated internal funds for limited 'buy-out' from other duties in order to support specific, well-defined and strategically significant research projects (including impact-related activities). At faculty level, Deans are encouraged to manage workload and resource distributions to optimise staff research endeavour. This may include the granting of consolidated periods of time for research activity in blocks not exceeding one full month. Longer periods of time may be agreed by individual Deans but will need the counter-signature of the Pro Vice Chancellor (Academic). In all cases, research time taken should be accounted for, and reports made to the Head of Department and Dean within one month of the period in question. For members of staff who are not eligible to be included in REF, but have indicated a desire to reach the standard for inclusion in future exercise, the University supports such colleagues through, for example, mentoring, funding for conference attendance/publication, CRT, etc.

How the Code is being consulted for approval and communicated?

41. A draft CoP for consultation as well as the final approved Code will be published on the University intranet. Details of intranet location will also be sent out through direct email to all academic staff and included in the University's staff news bulletin. The Personnel Office and HR Managers are responsible for disseminating the Code to staff who are absent, such as staff on long-term absence. They will use "keeping in touch" days for staff absent on maternity/paternity leave, for example, to share the Code. Accessible formats are available on request to The Personnel Office. Staff are encouraged to raise any queries with either their local HR manager, Deans, HoDs or the REF institutional lead. The Personnel Office will send a copy of the CoP to External Advisers for their feedback and also to draw their attention to the CoP when reviewing materials from the UoAs. Appendix D contains a detailed Communication Plan. The University will follow a two-phased strategy for communication and dissemination of the CoP in accordance with its overall REF Communications Strategy which is underpinned by the principles of fairness, inclusiveness and transparency: (i) a broad campaign; and (ii) a formal consultation. Additionally, the draft CoP document will be discussed at the following University Committees and meetings (see paragraph 72; and Figure 3) for seeking sign-off approval from these committees: REFSG (8th May 2019); Rectorate Team (10th May 2019); University HoDs of Schools and Departments (13th May 2019); University Senate's

Research Committee (15th May 2019); UCU/JCNC: (24th April and 21st May 2019); Equality and Diversity Steering Group (5th June 2019); University Senate (26th June); University Council (2nd July 2019). Invitation to contribute to the development of the CoP was made to colleagues in the University on 4th, 11th and 13th March at these committees.

Part 2: Identifying staff with significant responsibility for research

42. This part describes the process that The University will use to determine which eligible Academic TR&S Staff have significant responsibility for research (SRR) as Independent Researcher (IR) and will be submitted. This process will apply to all academic staff, regardless of Faculty, Department, School or REF 2021 Unit of Assessment (UoA.)

LHU's Research and Scholarship context and culture

43. As outlined in Part 1, "Research and Scholarship" (R&S) is in the Role Profiles for all academic TR&S staff at Liverpool Hope from grade seven and above, the level of research and scholarship intensity and extent of responsibility for Research is naturally relative to the grade itself. This has been clearly defined in the Research and Scholarship Activity and Role Profiles Policy of the University. R&S are hence firmly embedded in the core contractual documents and are required of all academic staff. They are entrenched in the Terms of Employment at Liverpool Hope for all members of staff appointed on or after 1 September 1989 or promoted after 1 February 1991, also refers to such R&S activity.

44. Research and Scholarship (R&S) is a fundamental part of the University's standard staff allocation model for academics. Hope's workload model allows 1/3 time (i.e. 33% or 500 hours) allocation for R&S (remaining 67% of time allocation is equally split for Teaching and Administration/Service).

45. As mentioned in paragraphs 43 and 44, all academic staff have both "Teaching (T)" and "Research and Scholarship (R&S)" in their contracts, except in a few targeted vocational areas (particularly, in professional studies such as Education, Social Work, Finance, Accountancy, Human Resources, and Clinical Sciences) where Professional Tutors are appointed on Teaching only roles; where Scholarship, but not Research, is a requirement; and in Teaching and Scholarship (T&S) contracts where Research is not a requirement. Hope has no "Research-only" positions (other than a few funded externally for specific projects; e.g. Post-doctoral Research fellows (PDRF) who are not considered Independent Researchers as they are employed on a research project supervised by a Principal Investigator(s) and not to undertake self-directed research.)

How the definition of SRR has been developed?

We reproduce below REF 2021 definition of '*Category A Eligible*' staff from 'Guidance on Submissions (GoS)' document. For the avoidance of doubt, in line with the REF's 'GoS', Professional Tutors and staff on Teaching and Scholarship (T&S) contracts are ineligible for submission to REF 2021 as they don't have Research in their contract. Another definition used in GoS, and again reproduced below, is: '*Category A Submitted*' which describes 'Category A Eligible' staff who have been identified as having significant responsibility for research on the census date (31 July 2020), and, therefore, must be submitted to REF 2021. This differs

from REF 2014 wherein institutions were free to choose which eligible staff to submit. Staff with significant responsibility for research are defined by the funding bodies as those "for whom explicit time and resources are made available to engage actively in independent research, and that this is an expectation of their job role".

REF 2021 definition of staff eligibility and SRR[6]:

46. For the purpose of REF 2021 code of practice (CoP), the following definitions are used [as defined in *Guidance on Submissions* published[7] on 31st January 2019 by Research England]:

a) Category A eligible staff*: "academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research*[8]*.' Staff should have a substantive research connection with the submitting unit (see paragraphs 123 to127). Staff on 'research only' contracts should meet the definition of an independent researcher (paragraphs 128 to 134)." [Guidance on Submissions (GoS) paragraph 117].*

b) Significant Responsibility for Research: "*... those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role." [in line with Guidance on Submissions paragraph 138].*

c) Independent Researcher: *"... an individual who undertakes **self-directed** research, rather than carrying out another individual's research programme." [in accordance with Guidance on Submissions paragraph 131].*

47. REF guidelines refer to two sets of staff – "Category A **eligible**" and "Category A **submitted**". Eligible staff are submitted **if and only if** they have significant responsibility for research. **Figure A1** (below – included in Appendix A), from the Guidance on Submissions summarises REF eligibility.

With the above REF 2021 definitions (43-44) as a starting point, and taking as a basis our Research and Scholarship Development Plan 2020 (which has been used successfully in the University's preparations and submission for REF 2014 and now for REF 2021) and adapting our policies and procedures to the requirements of REF 2021, we now define below Liverpool Hope's approach to identifying eligible staff to be submitted i.e. those having SRR and are considered Independent Researchers. **In fact, this definition has already been the basis for our preparations for REF 2021 and the University will be required to confirm adherence to it when making the submission to REF 2021.**

[6] LHU's definition for SRR and IR complies with the above REF 2021 definition of staff eligibility and is based on Liverpool Hope's Research and Scholarship Development Plan (R&SDP) 2020. These foundational documents, which predate Lord Stern's review of REF, has guided the current REF cycle. Excerpts from R&SDP 2020 are included in Appendix B in Part 5.

[7] https://www.ref.ac.uk/publications/

[8] At Liverpool Hope Academic Staff whose primary employment function is to undertake 'teaching (T) and research (R) and scholarship (S)' are returned to the Higher Education Statistics Agency Staff (HESA) Data Collection with an academic employment function of 'Academic contract that is both teaching and research' (identified as codes "3" in the ACEMPFUN field.)

LHU's definition for Significant Responsibility for Research (SRR):

48. Academic "Teaching, and Research and Scholarship (TR&S)" staff on Grade 7 or above

a) whose role fulfils the definition of "Category A **eligible**" stated above; **and**

b) who spend their 'R&S workload-time allocation' on "Research" (as defined by REF) such that their output(s) meet the definition of "Research" as defined by REF (which is also the definition adopted by the University in its *Research and Scholarship Development Plan 2020*[9] - excerpts from R&SDP are included in the Appendix B in Part 5); **and**

c) are Independent Researcher (IR; as defined below and repeated in Part 3 of this CoP)

are deemed to have **Significant Responsibility for Research** (SRR) and hence are "Category A **submitted**". No further process is required to determine eligibility for inclusion in the REF 2021 submission for these members of academic staff. In accordance with REF 2021 rules, all such staff will be included in the submission.

49. Academic "Teaching, and Research and Scholarship (TR&S)" staff on Grade 7 or above

a) whose role fulfils the definition of "Category A eligible" stated above; **and**

b) who spend their 'R&S workload-time allocation' on "Scholarship" such that their output(s) meet the definition of "Scholarship" as defined in the *Research and Scholarship Development Plan 2020*[10] (excerpts from R&SDP are included in the Appendix B in Part 5)

are deemed NOT to have significant responsibility for research (SRR); but ARE deemed to have Significant Responsibility for Scholarship (SRS) and hence are NOT submissible for REF 2021. **Figure 1** below summarises the process in this box diagrammatically.

50. **As such, this definition of SRR (and IR) in paragraph 48 means that LHU will thus submit 100% of staff who are eligible i.e. are researching and whose outputs meet the REF definition for Research. If HESA identifiers[8] were to be used (and Liverpool Hope strongly argued that it should be in its response to the consultation process on the implementation of the REF review by Lord Stern) then Liverpool Hope University would have again returned 100% of Academic Staff who are researching with outputs meeting the REF definition of Research.**

[9] **Research:** Research leads to the advancement of knowledge. Hope adopts the REF definition of research, as 'a process of investigation leading to new insights, effectively shared'. This reflects a shift in emphasis towards making research publicly available, unless undertaken confidentially. More details can be found in Appendix B.

[10] **Scholarship**: For the purposes of this document, 'scholarship' is defined as the process whereby the person involved is actively engaged in the discipline and is keeping up-to-date with developments in his or her subject. It is the systematic and active interrogation, integration, application and dissemination of things already known. More details can be found in Appendix B.

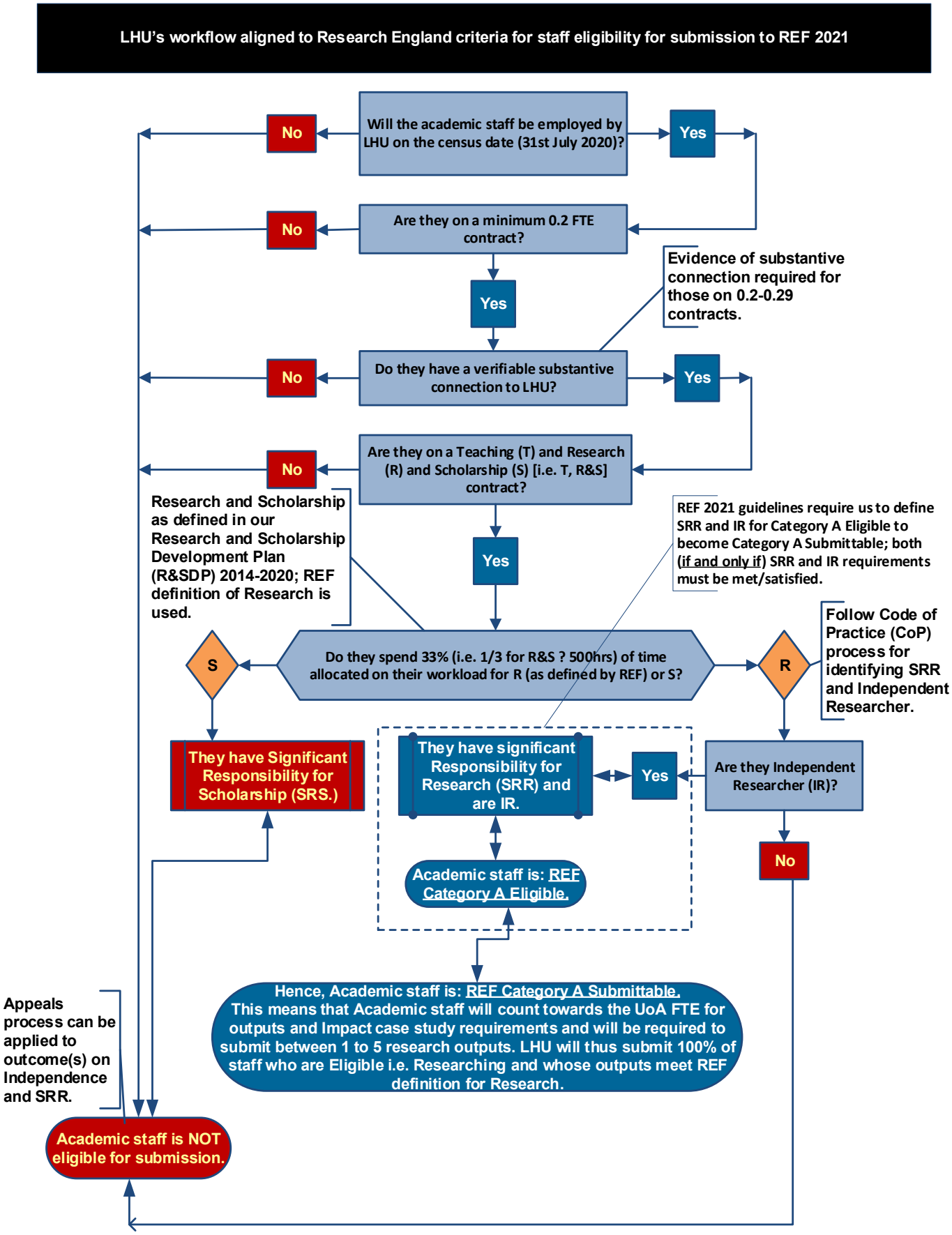


Figure 1: Determining SRR and RI: Liverpool Hope University will submit 100% of REF Eligible staff who meet these criteria as defined above.

Determining Research Independency (RI)

51. At LHU, Academic "Teaching, and Research and Scholarship (TR&S)" staff on Grade 7 or above whose role fulfils the definition of "Category A eligible" stated above; and who spend their 'R&S workload-time allocation' on "Self-directed Research" (as defined by REF) such that their output(s) meet the definition of "Research" (as defined by REF and definition adopted by the University in its Research and Scholarship Development Plan 2020 - see excerpts from R&SDP in Appendix B in Part 5) are Independent Researchers (and conversely, RI implies SRR.)

52. Some Category A eligible staff may not yet have achieved independence as researchers, i.e. they are not undertaking "self-directed research"; for instance, they are enrolled for pursuing/completing a doctoral degree; or having recently completed a doctorate are still under the tutelage of a senior researcher or is a junior member of a research unit working on a supervised project (e.g. PDRF.) As such they normally do not fulfil the REF definition of having significant responsibility for research and will normally not be included in the University's submission to REF 2021. The CoP will be applied to any such borderline cases appropriately.

53. The University recognises that attaining independence is a continuous process, reflecting an individual's development in their role. Our procedure allows for cases to be revisited if circumstances change. We also recognise that staff may have attained research independence, but may not be in a role where "self-directed" research is an expectation on the REF census date (31 July 2020).

54. In addition to the definition of SRR in paragraph 48, the criteria that will be used to determine research independence (RI) for the purposes of REF 2021 submission, will be that which is set out in the funding bodies' GoS paragraph 132:

    a) leading or acting as principal investigator or equivalent on an externally/internally (substantial initiative) funded research project or self-directed research project

    b) holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance[11].

    c) leading a research group or a substantial or specialised work package or self-directed research

    d) being named as a Co-Investigator (as required for main Panels C and D in the GoS) on an externally funded research grant/award

    e) having significant input into the design, conduct and interpretation of the research.

55. As stated in the GoS[3] (paragraph 132), each indicator may not individually demonstrate independence and multiple factors may need to be considered.

[11] https://www.ref.ac.uk/media/1030/c-users-daislha-desktop-list-of-research-fellowships-updated-22032019.pdf

56. In accordance with the REF 2021 GoS, and for the avoidance of doubt, a member of staff will not be deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs. Similarly, Research Assistants/Associates and Postdoctoral Research Fellows (PDRF) are not normally eligible for submission to REF as they are not considered as IR.

57. The criteria will be applied by reference to relevant information including job description, nature and scope of research grants held and externally-funded research fellowships. As indicated in the Guidance, the assessment will be based "upon the expectations of staff as a function of employment, and not upon the quality or volume of what has been delivered as a result of that employment function".

58. As in paragraph 50, the definition of SRR defined in paragraph 48 means that LHU will make a 100% submission in REF 2021 as over 95% of staff at Hope satisfy and meet the criteria outlined in paragraph 48 (including IR definition in paragraphs 51-57 above). Less than 5% of staff are currently **not REF eligible** for submission based on this definition of SRR (as they satisfy the definition of SRS as defined in paragraph 49 above.) As outlined in paragraphs 51 to 57, any borderline cases for SRR/SRS and IR will be considered on a case-by-case basis by the Chair of REFSG, and Faculty Deans with the help of the Personnel Office who will, in the first instance, be responsible for identifying such individuals.

59. The outcome will be communicated to the member of staff by email by the Personnel Office and their Faculty Dean, and will outline the evidence considered and how the criteria were applied. The feedback will include a reminder about the appeals process and the arrangements for declaring staff circumstances (for those staff deemed eligible). This information will be made available to the member of staff and other authorised users (for example, Deans, Heads of Departments/Schools) only.

Timing for determining SRR and IR

60. We aim to complete the identification of our pool of academic "Category A submitted" staff **as soon as possible but not later than October 2019**. To that end we will proceed with reviews as soon as possible after the Code has been accepted by Senate and Council and panel members have taken part in the REF-specific E&D briefings. **We will communicate the initial outcome to members of staff no later than 31st October 2019 in order to meet the Survey of submissions intentions cut-off date in December 2019**.

61. It is recognised that eligibility is determined by an individual's role on the staff census date, 31st July 2020. Changes to the relevant role information in our Personnel systems (CIPHR) will be flagged to the REFSG team and changes in relation to REF eligibility considered as indicated above.

Decision making for borderline SRR/SRS and IR cases

62. A panel will be formed comprising the Faculty Dean, Head of School/Department, and Director of Personnel or nominee (e.g. HR Managers.)

63. The panel will assess the evidence of SRR and RI against the relevant REF criteria (including any main panel-specific criteria designed to recognise disciplinary differences.)

64. As far as practicable, all cases for a Faculty/Department/School/UoA will be considered at the same meeting to enhance consistency. Where the volume of cases precludes a thorough consideration of all cases at one sitting, the Panel will be responsible for ensuring consistency of approach across the University.

65. The outcome of the assessment will be:

    a) The member of staff is deemed to be independent (and have SRR) and is eligible and must be submitted to REF 2021, or

    b) The member of staff is not yet independent (and does not meet SRR criteria) as defined by REF 2021 and is currently not eligible for submission, but is expected to be so by the REF staff census date, 31st July 2020. A further review date will be set in accordance with the anticipated achievement of independence, or

    c) The member of staff is not yet independent researcher and it is not an expectation of their job role that they will achieve independence or have SRR as defined by REF 2021 by the REF census date. The member of staff is not expected to be eligible for submission, or

    d) There is insufficient evidence to arrive at a judgement. The panel will identify what additional information is required and how it will be obtained, and will set a further review date.

66. Once all Faculty panels have undertaken their assessment, the Dean, Head of School/Department, and the HR Manager will meet to share the outcomes and examine any apparent variations to ensure that they are justified. Where differences are not justified, cases will be revisited and additional evidence may be sought if necessary to arrive at a fair judgement. To inform this discussion an equality impact analysis (EIA) will be carried out on the cases and outcomes and any differential impact on groups with protected characteristics examined to mitigate the risk of inadvertent discrimination in our processes, and how greater inclusion can be achieved in the future.

67. A written record will be kept by the Personnel Office to confirm what evidence was considered and the extent to which this demonstrated that the criteria had been met. This information will be retained by Personnel and may be submitted to the funding bodies in the event of an audit of the University's REF 2021 submission. It will form the basis of feedback to the member of staff on the evidence informing the final decision.

68. The anonymised outcome of the assessment of independence will be reported to the REF Steering Group, alongside the relevant equality analysis to assist the Group in fulfilling its responsibilities in relation to equality and inclusion.

Communication of process for determining SRR and RI process

69. When we communicate about the Code, we will draw attention to the processes for identifying staff with significant responsibility for research and determining research independence.

70. Tailored follow-up emails will be sent to staff to either confirm their REF eligibility or to confirm that their role will be reviewed through the processes described in paragraphs 62-68 above.

Consultation and approval of processes

71. The principles underpinning the Code (including those for identifying staff with significant responsibility for research, determining research independence and selecting outputs for submission) have been developed since March 2018 under the direction of the Chair of REF Steering Group, who is also the Institutional lead for REF 2021, informed by input from Personnel staff, the University's Research Committee, The Rectorate Team, Equality and Diversity Steering Group (E&DSG), Unit of Assessment Coordinators (see Appendix G and H for a schedule of University's preparations for REF submission). Invitation to contribute to the development of the CoP was also issued to the wider University community formally on 6th February (REFSG); 13th February (Senate's Research Committee); 21st February (JCNC was informed); 4th March (Rectorate team); 11th March (University HoDs meeting); and 13th March (University Senate).

Outcome of consultation and subsequent approval route added after the end of consultation period (and after addressing the feedback received with evidence of discussion and approval)

72. The University has followed a two-phased strategy for communication and dissemination of the Code of Practice in accordance with its overall REF Communications Strategy which is underpinned by the principles of fairness, inclusiveness and transparency. Communications specifically related to the Code of Practice include (see also paragraphs 41 and 71):

a) **Phase One (March 2018 – Spring 2019):** A broad campaign to inform staff about the background to REF 2021 (see communication plan in Appendix D), Research England's procedures for the operation of REF 2021, the REF timetable and University preparations for the submission. The Chair of REFSG (REF institutional lead) holds termly meetings with the UOA coordinators (one-to-one meetings.) Pertinent information is also communicated through targeted briefings, web updates/intranet and email/digital communications via staff bulletin. See also the Training Plan in Appendix D.

b) **Phase Two (27th April 2019 – 17th May 2019; then until 31st May 2019 for dissemination of updated CoP):** Launch of formal consultation on the Code of Practice with multiple channels for feedback designed to reach all stakeholders across the University and targeted at specific staff groups. It has been agreed that The Code of Practice will be piloted during the 2019 annual progress review (stocktake exercise; reports will be available in September/October 2019) where Units of Assessment will be required to apply the Code of Practice, including the UoA Criteria and Working Methods, enabling the RRTEG and REFSG to monitor consistency of application across the submission and adapt where necessary. Updated report from this annual stocktake exercise will be available in November 2019.

c) As required by Research England, Equality Impact Assessments of UOAs will be conducted by the Equality and Diversity Steering Group, ensuring that the processes of staff identification and output selection are in line with the Code of Practice.

d) The CoP has been consulted, discussed and approved at the following University Committees (also see Figure 3):

- **REFSG:** Wednesday 8th May 2019 – CoP approved after minor amendments (see minutes)
- **Rectorate Team:** Friday 10th May 2019 – CoP approved (see minutes)
- **University HoDs of Schools and Departments:** Monday 13th May 2019 – CoP accepted for implementation after discussions and feedback (see minutes)
- **University Senate's Research Committee:** 15th May 2019 – CoP approved after discussions and minor amendments (see minutes)
- **UCU/JCNC:** Tuesday 21st May 2019 – CoP discussed and approved (see minutes and confirmation letter attached in Appendix G)
- **Staffing Committee (a standing sub-committee of the University Council):** Tuesday 28th May 2019 0- Approved the CoP and the approval to be noted at the University Council on 9th July 2019 (see minutes)
- **Equality and Diversity Steering Group:** 5th June 2019 – CoP confirmation of acceptance and approval (see minutes)
- **University Senate:** 26th June – the Chair of the Senate has approved the CoP after the consultation period and Recommendations for Approval by the Senate's Research Committee; and the CoP will be tabled, along with a report on feedback received and changes that have a implemented as a result of the consultation process.
- **University Council:** 9th July 2019 – as above, the Council will receive report of the Staffing Committee's approval of the CoP.

73. The Code approved for submission to the funding bodies will be communicated as indicated in paragraph 41 (a detailed Communication Plan is included in Appendix D.)

Staff, committees and training

74. As indicated above in paragraphs 62-68, for each Faculty a panel will be formed comprising Faculty Dean, Head of School/Department, and Director of Personnel or nominee (e.g. HR Managers) of School/Department that employ staff whose roles are being considered. Panel members are ex officio. The composition of the panel reflects local line management and leadership responsibility, and provides appropriate professional support for consistent decision-making.

75. UoA Coordinators take part in briefings (via REFSG which meets twice quarterly; and also through one-to-one meeting with the Chair of REFSG) on all aspects of REF. These briefings are delivered by the University's REF lead, supported by other professional staff with relevant expertise, and cover all aspects of REF requirements and the University's process for developing the submission. We will use this infrastructure to deliver REF 2021 specific Equality and Diversity training to colleagues: sessions will be delivered by the Personnel representative on REFSG in June 2019. This will include workshops specifically for Heads of School/Department, Deans, to support their role in the decision-making processes described in this code. Individual arrangements will be made for staff taking up REF roles after the scheduled training has been delivered.

76. All staff (including staff involved in the REF decision making roles including Heads, Deans, Chairs of Panels/Committees, the RRTEG and REF Steering Group members) are

required to complete the mandatory training on "Equality, Diversity & Inclusion", and "Unconscious Bias" which provides all University staff the same introductory grounding in key principles of equality, inclusion and diversity. A detailed training schedule and plan is included in Appendix D.

77. The training covers the type of behaviours that are expected of all members of our university community, information about equality law, and ways in which we support and promote equality and inclusion at LHU. It also explains the potential impact of unconscious bias and ways through which we can mitigate against it. REF-specific briefings will complement this generic provision.

Complaints and Appeals

78. The University's general approach to complaints will be followed, meaning that attempts will be made to resolve any complaints as quickly and as informally as possible. Any member of staff who wishes to complain of discrimination should raise this through the procedures described in the University's policy and procedures on Conflict Resolution and Grievance Procedure (Appendix B.)

79. Where a member of staff feels that they have not been dealt with in accordance with this code of practice, they should raise the matter informally in the first instance with their Dean of Faculty who will investigate and attempt to resolve the matter. Where the matter remains unresolved, the appeal will be considered by a senior member of academic staff not directly involved in REF 2021 within decision-making processes described in this Code. The Faculty Dean may take advice from appropriate other staff in investigating the complaint. The member of staff raising the appeal may invite a union representative to attend appeals meetings.

80. Appeals may be raised on whether due process outlined within this Code has been followed. Colleagues may not raise an appeal on the grounds of academic judgement regarding, for example, staff allocation to a UoA assessment, or decisions regarding selection of outputs.

81. Details of our appeals process forms part of this Code of Practice and will be included in the communication of this Code. Information on appeals will also be included when the outcome of the processes to determine eligibility and independence is communicated.

82. While appeals may be raised at any time, members of staff are strongly encouraged to raise matters informally as soon as they arise. No appeals will be considered after the final, full draft submission is completed for internal review, which is expected to be in late summer 2020. This is to allow appeals to be considered properly and their outcomes to be considered as necessary in the submission itself.

83. Anonymised outcomes of appeals will be reported to the next meeting of the REF Steering Group as a standing Agenda item under REF 2021 preparations.

Equality impact assessment

84. See paragraph 62 above and Appendix E.

85. The University will carry out equality impact assessments at periodic stages leading up to our submission and post-submission to ensure that we pay due regard to equality issues throughout the REF submission process. The University will carry these out to:

    a) understand the representation of the eligible and submitted staff against our academic staff profile

    b) understand how the selection of outputs for submission represent the diversity of the eligible and submitted staff community

    c) identify where further progress on diversity issues is needed so that this can be incorporated into the delivery of the University's Research Strategy.

86. The equality impact assessments will draw on the data that has already been provided to the institution (as part of the employment relationship of an individual to the University). We will fully respect all GDPR regulation and will only publish the information at aggregated levels. No individuals will be identified, and we will be careful to address any issues relating to low numbers.

87. The equality impact assessment will be carried out at an institutional level and at UoA level by the relevant UoA coordinator, supported by the Personnel and the Chair of Equality and Diversity Steering Group.

88. We will aim to use qualitative sources of information and consultation, proportionate to the overall aim and emphasis of the REF 2021 exercise.

Part 3: Determining Research Independence (RI)

89. RI is defined in paragraphs 51 to 56. As described above in Part 2, paragraphs 51-68, Some Category A eligible staff may not yet have achieved independence as researchers. i.e. they are not undertaking "self-directed research"; for instance, they are enrolled for completing a doctoral degree, or are involved in Scholarship activities which are equally important for Liverpool Hope. As such they do not fulfil the REF definition of having significant responsibility for research and will not be included in the University's submission to REF 2021

90. Staff in "T&RS" roles who are independent and meet SRR criteria on the census date are eligible for inclusion in REF, and will be included in our submission. As mentioned earlier, LHU does not have "research only" roles except in cases of externally funded PRDFs who are may not necessarily be independent researchers as staff on such roles are employed to carry out another individual's work programme and as such are not normally regarded as independent for the purposes of the REF.

91. While grade and/or job title may provide a helpful starting point, these indicators are not sufficient in themselves to fully, fairly and accurately identify independent research roles. A process that draws on a wider set of evidence to make a judgement is required. Paragraphs 51 to 68 in Part 2 describes that process.

92. The University recognises that attaining independence is a continuous process, reflecting an individual's development in their role. Our procedure allows for cases to be revisited if circumstances change. We also recognise that staff may have attained research independence, but may not be in a role where "self-directed" research is an expectation on the REF census date (31st July 2020.)

Criteria

93. The criteria, and their application will be as set out in Part 2 above.

Decision Making

94. The process for decision making will be as outlined in Part 2 above.

Communication, Timing, and Training

95. See Part 1 and 2 above. A detailed Communication Plan is included in Appendix D.

96. See paragraphs 60 – 61 above. Training Programme is included in Appendix D.

Staff, committees and training

97. See paragraphs 13 to 18 above.

Complaints and Appeals

98. See paragraphs 78 – 83 above. A proforma for making an Appeal is included in Appendix F.

Equality Impact Assessment

99. See paragraphs 84 – 88 above and Appendix E.

Part 4: Selection of outputs

100. Decisions regarding which work is included in the REF submission, how it is distributed across UoAs, and to which individual staff members it is attributed, will be discussed and made at the REF Steering Group (REFSG) in consultation with Faculty Deans, Heads of School/Department and key research-active staff in the University, informed by the advice of External Advisers. The REFSG reports to the Senate via Research Committee and is also accountable to the Rectorate Team and RRTEG which is chaired by the Vice-Chancellor who has the final responsibility to sign-off the REF submission on behalf of the University Senate and the Senior Executive Team i.e. the Rectorate Team. **Decisions will be taken to deliver the best outcome from REF 2021 for the University as a whole.** Figure 2 below shows Research output selection workflow aligned to Research England eligibility criteria for REF 2021.

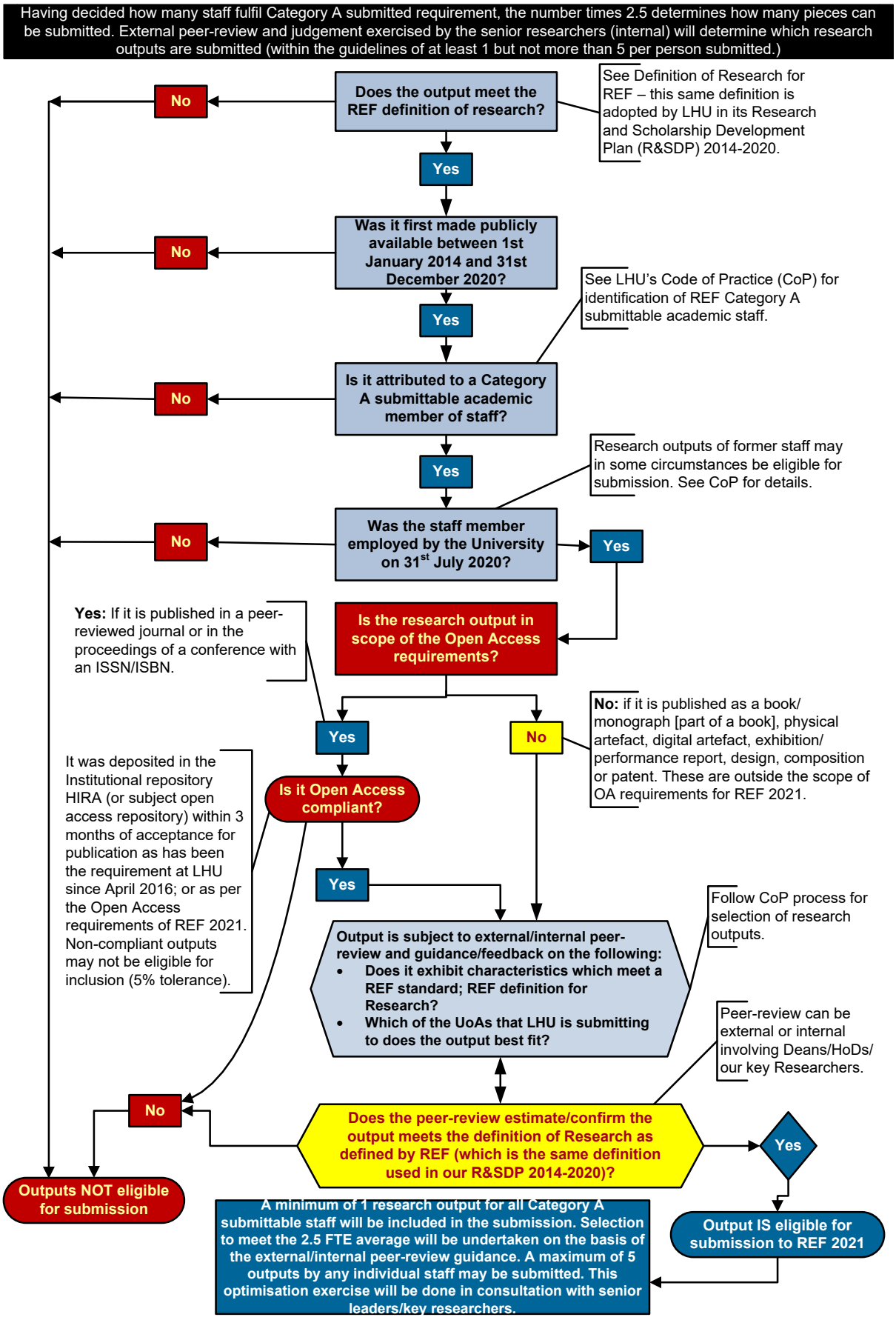


Figure 2: Identifying Outputs for submission: Research output selection workflow aligned to Research England eligibility criteria for REF 2021.

101. The total available pool of eligible research outputs will comprise REF eligible[12] outputs registered by staff in the University's modelling and decision making tool including publications database (called "REFit") maintained by the Chair of REFSG and shared with UoA coordinators; Deans; Heads of School/departments on regular basis (please see Appendix G for a screenshot of REFit system.)

102. The selection of outputs for inclusion and their allocation to submitted Category A staff in the submission will be guided by the REF 2021 outputs eligibility criteria and rules about the maximum and minimum number of outputs that may be attributed to an individual in the submission.

103. Within the parameters defined by the rules of REF 2021, the primary criterion in the selection of outputs will be quality. As the REF is an institutional assessment, this primary criterion will be applied to achieve the best outcome for the University overall.

104. The assessment of quality will take account of local independent reviews (e.g. internal peer-review; feedback from the REF External Advisers) and those commissioned via the University review (e.g. Performance Review, etc.) As such the assessment will necessarily rely on academic judgement.

105. Following an initial selection of outputs based on quality, the following secondary indicators will be considered to differentiate between outputs deemed to be of equivalent quality for the purposes of the submission. The indicators are listed alphabetically, and no hierarchy exists.

a) Avoidance of the submission of outputs with significant material in common (to limit the risk of panels' disregarding a second output if the overlap is felt to be too great)

b) Citations, where and to the extent that, these are employed by the sub-panel to which the work is to be submitted (and taking account of the limitations of such data)

c) Open Access status of outputs within the scope of the REF 2021 Open Access policy (to limit the risk of violating the threshold for submission of non-compliant items, leading to an "unclassified" rating)

d) Relationship of the set of selected outputs to the strategy and achievements described in the unit environment statement (for example, to facilitate the use of submitted outputs to evidence claims made in the environment statement.)

106. Where an output has more than one author eligible for submission to the returning UoA, the allocation of the output to an individual for the purposes of the REF submission will be determined to achieve the best outcome for the University as a whole and will take account of: The author contribution (to minimise the risk of submitting an item for which the panel may deem the author contribution to be insufficient, leading to an "unclassified" rating); and the UoA to which the work may be submitted (to maximise the benefit of the available pool of outputs).

[12] Ineligible outputs include those where the submitted staff member has not made a substantial research contribution, or where the output is not the product of research as defined by REF (and definition adopted in our R&SDP 2020.) Please also refer to paragraphs 48-49.

107. Where all relevant criteria have been considered and outputs associated with both former Category A eligible and current Category A submitted staff remain to be allocated, the preference will be to include "best outputs" and/or associate remaining outputs with current staff to optimise the best outcome from REF 2021 for the University as a whole. The '*REFit modelling/planning and decision making tool*' designed and developed by the Chair of REFSG will help in this planning and optimisation process.

108. When UoAs complete their first full draft submission in late summer/early autumn 2019 they will make a provisional selection of research outputs for inclusion in the submission. These selections will be visible to the staff in UoAs via Liverpool Hope's REF Planning and Management tool, a master copy of which is maintained by the Chair of REFSG.

Disclosure of circumstances

109. The same process will be followed for all staff who wish to declare circumstances, and will cover all circumstances described in the Guidance on Submissions (GoS) paragraphs 160–163, i.e. as replicated below:

Summary of applicable circumstances:

160. The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period. Details of the permitted reductions are set out in Annex L:

a. Qualifying as an Early Career Researcher

b. Absence from work due to secondments or career breaks outside the HE sector.

c. Qualifying periods of family-related leave.

d. Other circumstances that apply in UOAs 1–6, as defined in paragraphs 162-163

Circumstances with an equivalent effect to absence, that require a

a. judgement about the appropriate reduction in outputs, which are:

i. Disability: this is defined in the 'Guidance on codes of practice', Table 1 under 'Disability'.

ii. Ill health, injury, or mental health conditions.

iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L.

iv. Other caring responsibilities (such as caring for an elderly or disabled family member).

v. Gender reassignment.

vi. Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation.

161. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5) reduction requests on the basis of part-time working hours should only be made exceptionally.

For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

162. In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

163.This allowance is made on the basis that the clinical staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph162, and has had significant additional circumstances – for any of the other reasons in paragraph 160 – the institution can make a case for further reductions as part of the unit reduction request, using the tariffs set out in Annex L as a guide.

110. Following formal approval of the Code by the Senate and Council, the Personnel Office will write to all academic staff on T&RS via e-mail to invite them to voluntarily and confidentially declare any circumstances (as set out in the Guidance on Submissions paragraph 160) that have affected their ability to research productively throughout the REF period. The communication will make it clear that this option is voluntary and the individual member of staff may choose to declare circumstances or not. Each case will be dealt with sensitively and confidentially.

111. Declarations will be made on a standard form (included in Appendix F) via a dedicated, central, confidential email address: lewint@hope.ac.uk (Mrs Theresa Lewin), which will be managed by the Personnel Office (details in Appendix F.)

112. As part of the process, staff will be offered the opportunity of a face-to-face confidential discussion(s) with the HR Managers/Advisers to assist them in deciding whether or not to formally declare circumstance(s), and to discuss what evidence would be helpful in cases requiring judgement.

113. Where circumstances are clearly defined they will be validated by reference to relevant Personnel records and the appropriate reduction in outputs calculated using the tariffs set out in GoS[3] and summarised in Appendix C. Where circumstances require judgement, the Personnel team will review cases in advance of formal consideration to ensure that the information provided is sufficient for the panel to make a fair assessment. Where necessary, further information may be requested before the case is considered.

114. A senior member of staff (e.g. PVC Student Life & Learning; or University Registrar) who is not directly involved in the REF preparation/submission process will chair the Circumstances Panel. In addition, the panel will comprise academic staff from a range of disciplines, trade union involvement, the Director of Personnel or nominee, and the Chair of Equality and Diversity Steering Group or nominee. The terms of reference, membership and equality analysis of this panel are given in Appendix C.

115. Cases for consideration will be anonymised as far as practical.

116. For all cases requiring judgement, the panel will determine whether the circumstances would justify a reduction in outputs and calculate the reduction.

117. The panel will also receive reports on clearly defined cases, to ensure that criteria are being applied appropriately and consistently.

118. There will be four deadlines for the submission of requests for circumstances, with clearly stated deadlines for feeding back the outcome of the assessment, as follows: staff who wish to disclose circumstances and are willing to provide the associated information should complete the form available in Appendix F, and submit it before one of the four deadlines of 31st May 2019 (feedback by 28th June 2019), 30th June 2019 (feedback by 19th July), 30th October 2019 (feedback by 20th November 2019) and 17th January 2020 (feedback by 14th February 2020). The schedule reflects the funding bodies' deadline for the submission of cases for consideration. There may be a fifth deadline (precise date in March 2020 to be confirmed) depending on the requirements. Where a member of staff joining the University after this date declares circumstances and it is agreed to make a request for a unit reduction in outputs, this request will be made alongside the submission.

119. The outcome of the assessment of circumstances will be reported to the member of staff and to their Head of School/Department and Dean who will be asked to confirm how the expectations of the member of staff's contribution to the overall pool of eligible outputs have been (or will be) moderated in light of their circumstances.

120. The UoA Coordinator will be informed of the reduction in outputs that may be available, subject to approval by the funding bodies. The UoA Coordinator will not receive any information about individual's circumstances.

121. Where a case has been validated by the University's panel a request may be made to the funding bodies to reduce the number of outputs required by the UoA. This is in the interests of ensuring that all circumstances are treated equally. In addition, it may not be possible to determine, by the deadline for the submission of applications for reductions, whether or not such reductions will be required in the final submission.

122. Where a case has been made for the submission of a Category A submitted member of staff with no output, and accepted by the funding bodies, this will be applied to the submission.

123. Where other cases for a reduction have been accepted by the funding bodies, the actual number of outputs submitted will be determined by the Chair of the REF Steering Group. The Figure 4 below illustrates how circumstances are considered in REF 2021 and the University's approach to creating safe environment and structure for declaration of such circumstances (for details of tariffs and applicable reductions see Appendix C.)

124. All circumstances information will be treated as highly confidential and will only be seen by members of the circumstances panel. The information will be kept securely in the Personnel Office in line with all GDPR requirements. The information will be securely held until the audit functions of the REF 2021 have all passed and the results of REF 2021 are published. The information will be confidentially destroyed following this point.

Equality Impact Assessment

125. An EIA will be carried out on all circumstance cases and outcomes, as described in paragraphs 84-88. The outcome of the EIA will be to:

- understand any differential impact on groups with protected characteristics.
- understand, and mitigate, any risk of inadvertent discrimination in our processes.

Where necessary, processes will be amended to address any issues identified, and cases will be revisited, if appropriate. Further details are given in Appendix E.

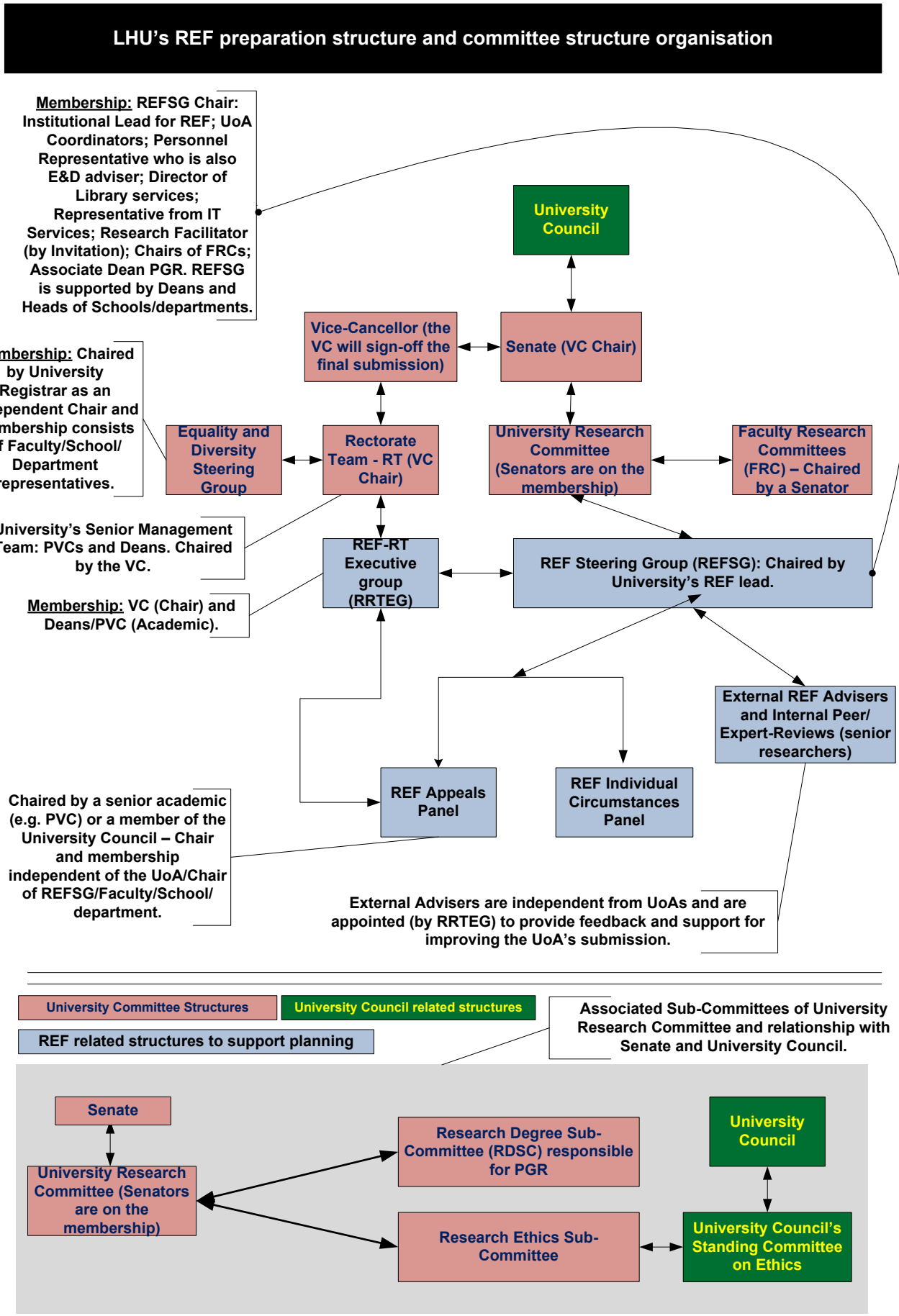


Figure 3: University's Committee Structure including decision making and appeals panel

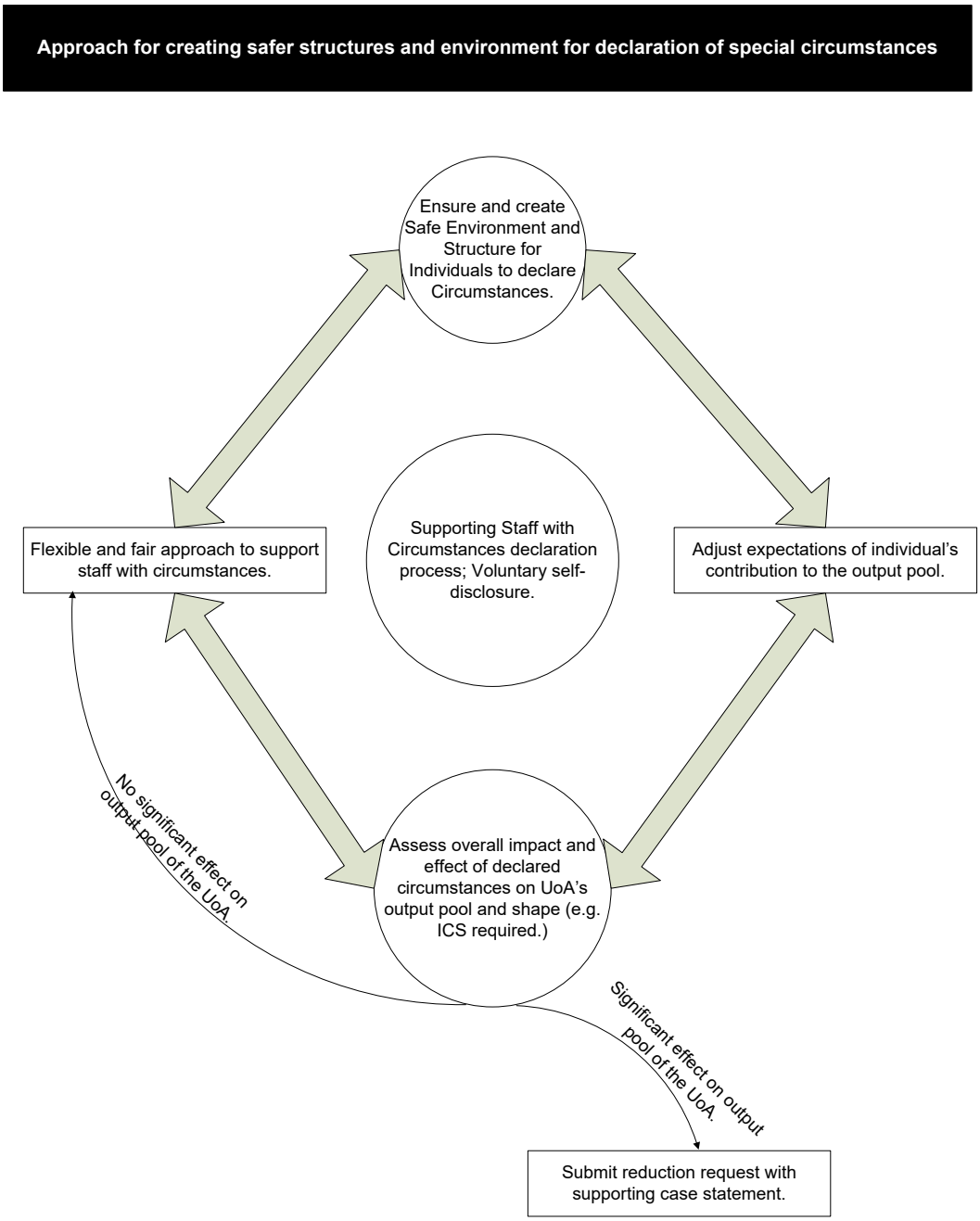


Figure 4: Declaration of circumstances and structures and environment to enable this to happen.

The University agrees with the funding bodies' view that individual staff are best placed to consider whether circumstances have affected their productivity over the REF assessment period, and that they should not feel under any pressure to declare their circumstances where they do not wish to do so. The University has put in place a safe and supportive process (as described in paragraphs 106-120 in this CoP) to enable staff to declare voluntarily their equality-related circumstances and to recognise the effect of those circumstances on their ability to contribute to the output pool at the same rate as other staff. To enable individuals to disclose circumstances in confidence, the process will be administered centrally, ensuring that decisions are consistent, transparent and robust, and taken by specifically-trained staff with relevant knowledge, expertise and awareness of equality legislation.

Part 5: Appendices (A to H)

APPENDIX A: Further Information about REF 2021

APPENDIX B: Liverpool Hope's policies and procedures referred to in the Code including excerpts from LHU's Research and Scholarship Development Plan 2020

APPENDIX C: LHU's Governance, Committee Structures, and Decision-Making Panels including a summary of special circumstances, process for declaring such circumstances, and requesting unit reductions

APPENDIX D: Schedule of Training and a Plan for Consultation and Communication

APPENDIX E: Equality Impact Assessment (EIA)

APPENDIX F: Staff Circumstances Declaration Template and Appeals Form

APPENDIX G: LHU's Timetable for Submission Development; and other miscellaneous documents shared with colleagues in the University including LHU's Plan for REF 2021 preparations (version approved by the Rectorate Team on Monday 8th January 2018); Letter from Chair of REFSG to all staff inviting comments/feedback during consultation; Consultation questions inviting feedback/comments and discussions

APPENDIX H: REF 2021 Key Dates for colleagues to keep in mind.

Please note: This document (CoP) can be made available in alternative formats upon request from lewint@hope.ac.uk in the Personnel Office.

Please direct any queries to Mrs Theresa Lewin (lewint@hope.ac.uk); or Professor Atulya K. Nagar (Pro Vice-Chancellor Research and Chair of REFSG; atulya.nagar@hope.ac.uk)

APPENDIX A: Further Information about REF 2021

The following key documents are available via the REF 2021 website ref.ac.uk or on request from atulya.nagar@hope.ac.uk: (1) The Guidance on Submissions (REF2019/01); and (2) The Panel Criteria and Working Methods (REF2019/02) The Guidance on Codes of Practice (REF2019/03). The Main Panels and Units of Assessment (UoA) are listed below:

Main Panel	Unit of assessment	
A	1	Clinical Medicine
	2	Public Health, Health Services and Primary Care
	3	**Allied Health Professions, Dentistry, Nursing and Pharmacy**
	4	**Psychology, Psychiatry and Neuroscience**
	5	Biological Sciences
	6	Agriculture, Food and Veterinary Sciences
B	7	Earth Systems and Environmental Sciences
	8	Chemistry
	9	Physics
	10	Mathematical Sciences
	11	**Computer Science and Informatics**
	12	Engineering
C	13	Architecture, Built Environment and Planning
	14	**Geography and Environmental Studies**
	15	Archaeology
	16	Economics and Econometrics
	17	Business and Management Studies
	18	Law
	19	**Politics and International Studies**
	20	**Social Work and Social Policy**
	21	Sociology
	22	Anthropology and Development Studies
	23	**Education**
	24	**Sport and Exercise Sciences, Leisure and Tourism**
D	25	Area Studies
	26	Modern Languages and Linguistics
	27	**English Language and Literature**
	28	**History**
	29	Classics
	30	Philosophy
	31	**Theology and Religious Studies**
	32	**Art and Design: History, Practice and Theory**
	33	**Music, Drama, Dance, Performing Arts, Film and Screen Studies**
	34	Communication, Cultural and Media Studies, Library and Information

Table A1: LHU will make submission in UoAs shown in **bold** font and will request for exception from submission in UoAs shown with Red font.

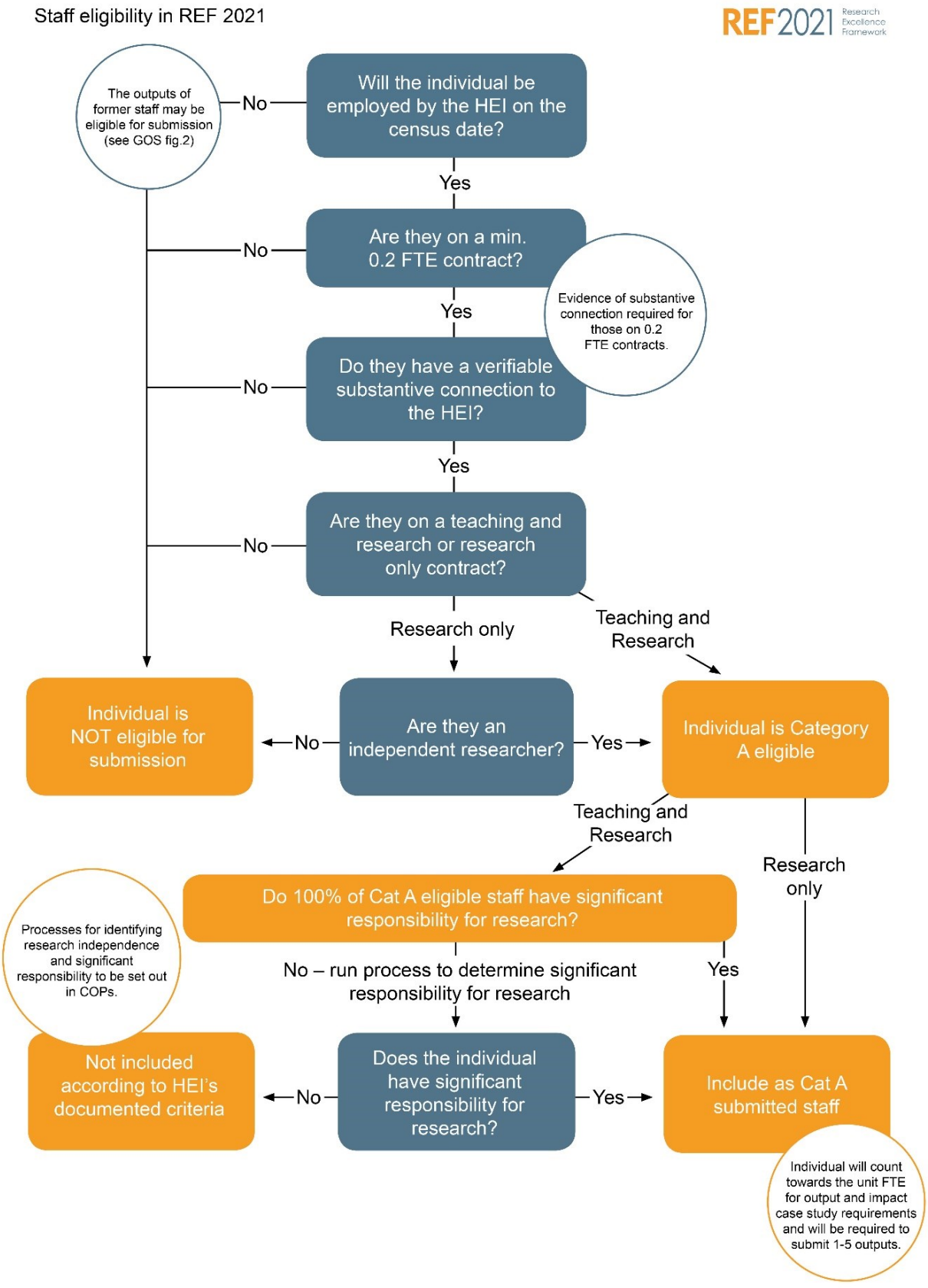


Figure A1: Summary of REF 2021 eligible and submitted Category A staff definition.

Figure A2: Calculating how many outputs would be required of a UoA

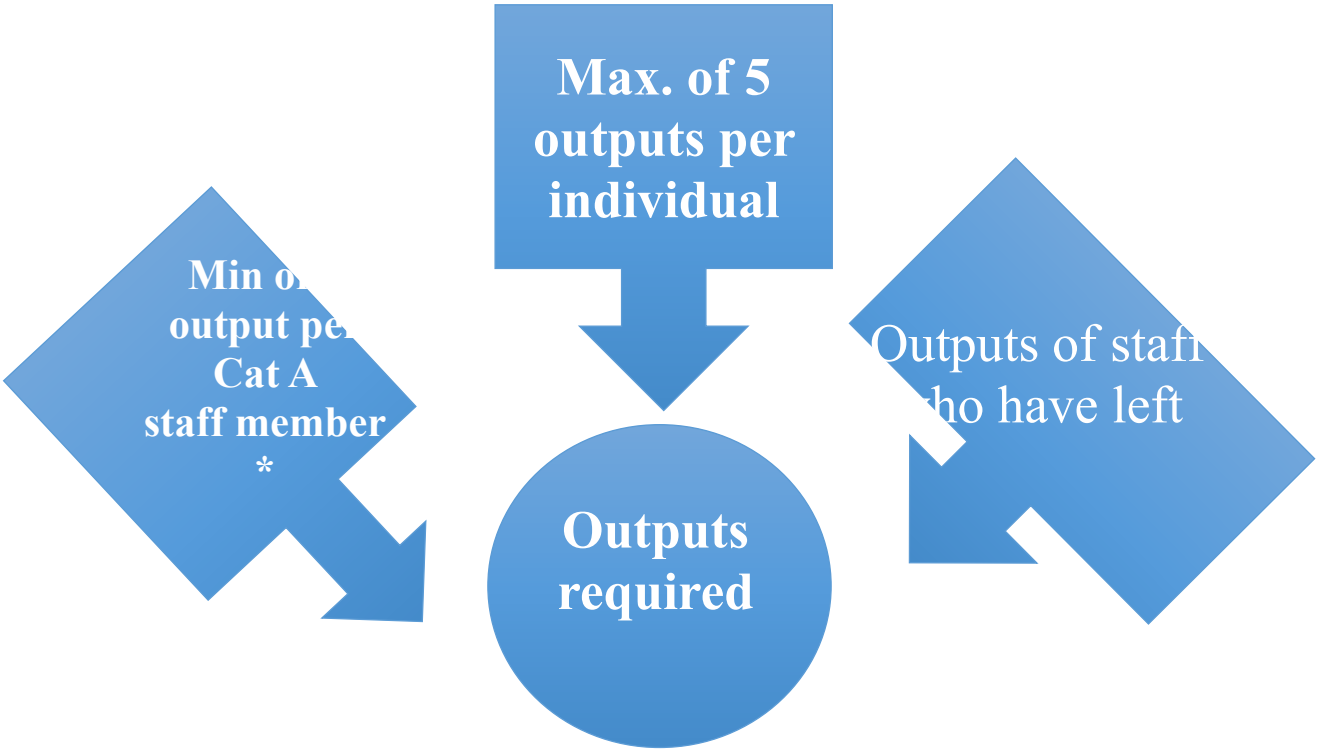


Figure A3: The output pool is comprised of minimum one output per Category A submitted and up to five per individual academic staff member; this optimisation exercise needs to ensure that number of outputs required, as in Figure A2, is met. * Unless staff member would like consideration of overall absence from Research of 46 months or more; or two or more qualifying periods of family related leave.

The REF 2021 guidance reinforces the Open Access principle that the date at which an output first came into the public domain is the basis for output eligibility. Main Panel D will allow co-authored outputs to be included more than once per submission, to a maximum of 5% of the total. The 5% tolerance band for non-compliance with the Open Access requirement will apply at UoA level, and allows 5% non-compliance or one non-compliant output, whichever is higher. Research England have dropped the proposal to account for different cost levels in UoA4. Lists of staff submitted will no longer be published.

Further details and information regarding REF 2021 can also be found in summary reports produced by the Chair of REFSG (available upon request at: atulya.nagar@hope.ac.uk).

The University's REF website also contains useful details and notes including tools/software etc.: www.hope.ac.uk/ref

APPENDIX B: Liverpool Hope's policies referred to in the Code

Excerpts from LHU's Research and Scholarship Development Plan 2020

Definitions – Research and Scholarship

Extracted from the Research and Scholarship Development Plan 2020 which was approved by the Senate in 2006, and amended and approved in 2009 and then in December 2014.

Research: Research leads to the advancement of knowledge. Hope adopts the REF definition of research, as 'a process of investigation leading to new insights, effectively shared'. This reflects a shift in emphasis towards making research publicly available, unless undertaken confidentially.

REF expands further on this as follows:

[Research] includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research.

Hope adopts these principles, and includes activities such as the below in its definition of research:

- The writing of books /monographs where the material meets the definitions outlined above
- Contributing to books/monograph/edited volume where the material meets the definitions outlined above
- The writing of articles in peer-reviewed journals
- The presentation of papers at academic conferences (funded from research funds)
- The preparation of research reports
- The development of new software where this leads to new or substantially improved insights
- The invention and generation of ideas, images, performances and artefacts where these lead to new or substantially improved insights
- Research leadership; for example, membership of editorial boards, the convening of colloquia and the editing of the subsequent research output
- Participation in external research networks
- The award of funds from research organisations such as the British Academy, the Leverhulme Trust, the ESRC, the AHRC, EPSRC, and others of similar standing relevant to the subject area, where rigorous peer-review has been independently applied nationally or internationally

- Evidence of peer-esteem; for example, the invitation to give research-level lectures, keynote addresses at conferences or editorship of REF-level research outputs
- Evidence of research impact as measured by such things as journal impact factor and relevant subject-specific citations indexes
- Acting as a peer reviewer for national and international journals.

Scholarship: For the purposes of this document, 'scholarship' is defined as the process whereby the person involved is actively engaged in the discipline and is keeping up-to-date with developments in his or her subject. It is the systematic and active interrogation, integration, application and dissemination of things already known. Hence the simple accumulation of new facts (new to the scholar that is, but not to the discipline) is a relatively basic-level activity that may be classed as information gathering. Scholarship here defined is the interrogation of that material, its integration into the wider academic consciousness of the individual concerned and the subsequent application and dissemination of that material, in its integrated form, through teaching and other scholarly activity. Scholarship naturally includes a host of activities that are engaged in by any person working in a university, such as the reading of up-to-date books and articles in the area, attendance at conferences and colloquia, and the revision of teaching materials in line with developments in the discipline. Evidence of such activity might include:

- The writing of book reviews for academic journals
- Attendance at external conferences and colloquia (though such is not funded from research funds but from staff development and/or non-research funds held within the Faculty
- Participation in reading and discussion groups
- In particular, engaging in reading and other scholarly activity that relates directly to courses taught. This preparation and intellectual activity will subsequently be reflected in the updating of course proformas that take into account recent developments in the subject
- Participation in one of Liverpool Hope's research groups (though not necessarily delivering a paper)
- The organising of a scholarly conference or colloquium (even where the person concerned is not delivering a paper or editing the research output)
- Participation in one of Liverpool Hope's research seminar series (though not necessarily delivering a paper)
- Contributions to textbooks in the subject area
- Surveys/overviews of material that do not constitute original research; for example, most types of dictionary articles, review articles, and some types of databases
- In some practice-based subjects (e.g. the performing arts) active participation in relevant subject-related performance-based activities, for example recitals, drama productions and exhibitions.
- Acting as an external examiner for Doctoral (e.g. PhD) Theses
- Acting as an evaluator of applications for funding research projects and fellowships
- Acting as a consultant for external research projects.

NB: In the interests of transparency and fairness to all, note that a paper delivered in-house at Hope, even if published in an in-house journal, would not normally count under research, due to lack of external peer-review and dissemination.

Impact: Impact is the broader effects of research within the public domain. The REF definition is "an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia."

It is further stated that:

- Impact includes, but is not limited to, an effect on, change or benefit:
    - to the activity, attitude, awareness, behaviour, capacity, opportunity, performance, policy, practice, process or understanding
    - of an audience, beneficiary, community, constituency, organisation or individuals
    - in any geographic location whether locally, regionally, nationally or internationally.
- Impact also includes negative effects such as the reduction or prevention of harm, risk, or cost.

Knowledge Transfer and Exchange (KTP): The UK Research Councils' definition of knowledge transfer is 'knowledge transfer encompasses the system and processes by which knowledge, expertise and skilled people transfer between the research environment (universities, centres and institutes) and its user communities in the private, public and other sectors'. Knowledge exchange is defined by HEFCE as:

- HEIs' engagement with businesses, public and third sector services, the community and wider public. It includes the transferring or exchanging of knowledge with the aim of delivering external impact, such as improving products, services and profitability. This is linked with research and teaching, and includes consultancy and advisory work, the creation of intellectual property, the development of academic and student entrepreneurship, and a variety of other activities.
- The term 'knowledge exchange' is preferred in this document as greater emphasis is placed on the process as two-way.
- Public Engagement: The UKRI (RCUK) Concordat for Engaging the Public with Research describes public engagement as a diversity of activities including
- Participating in festivals
- Working with museums/galleries/science centres and other cultural venues
- Creating opportunities for the public to inform the research questions being tackled
- Researchers and public working together to inform policy
- Presenting to the public (e.g. public lectures or talks)
- Involving the public as researchers (e.g. web-based experiments)
- Engaging with young people to inspire them about research (e.g. workshops in schools)
- Contributing to new media enabled discussion forums.'

Conflict Resolution and Grievance Procedure

The University's Conflict Resolution and Grievance Procedure can be found here (internal access):

https://www.hope.ac.uk/media/gateway/staffgateway/personneldocuments/media,1054,en.pdf

APPENDIX C: LHU's Governance, Committee Structures, Decision-Making Panels, including summary of REF 2021 criteria for Eligible Circumstances and permitted reductions for UoAs

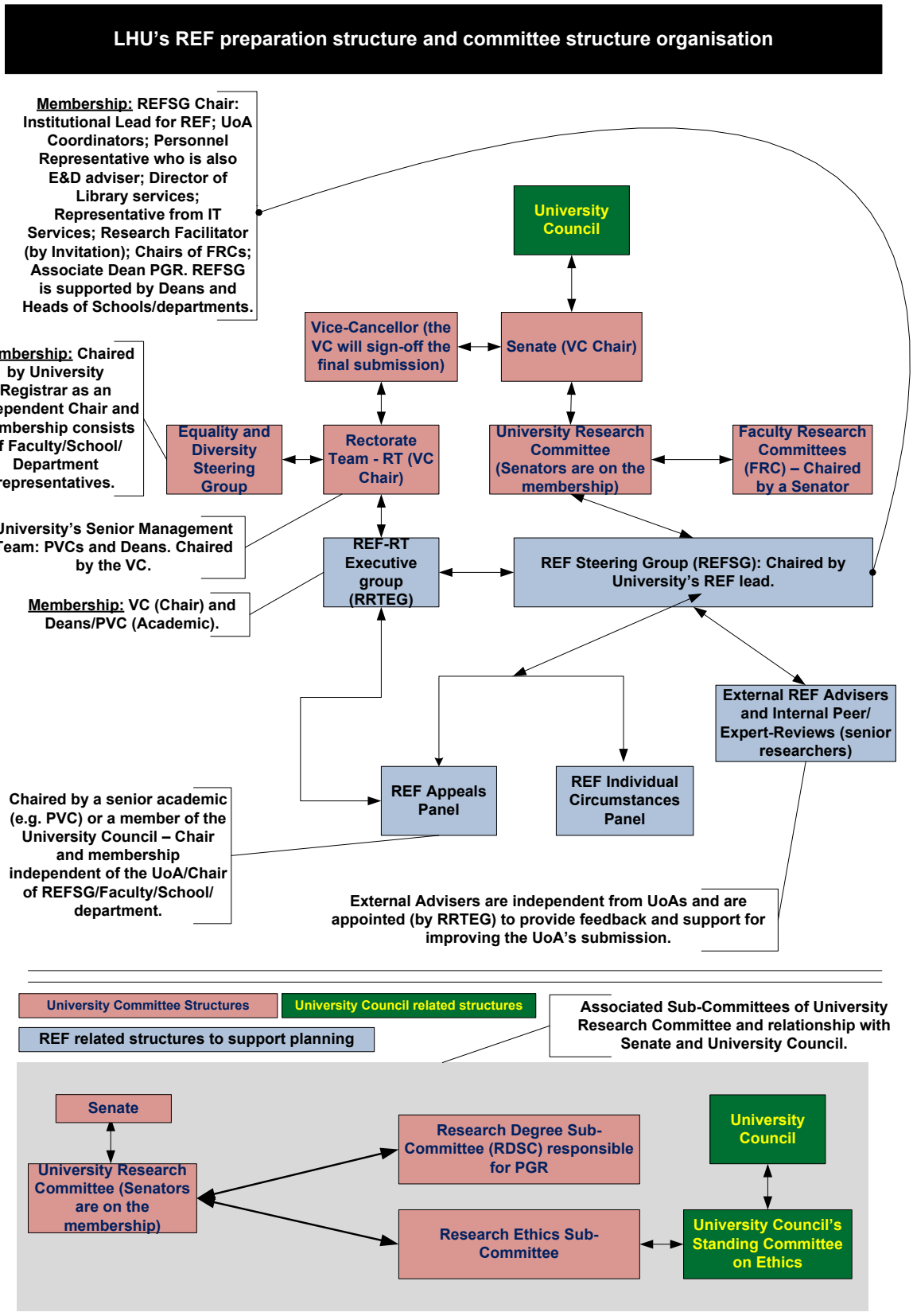


Figure C1 (same as Figure 3): University's Committee Structure including decision making and appeals panel

All research undertaken at the University must be in line with the Equality Act 2010 and with University policies on equality and diversity. Hope is committed to the principles of equality and diversity as well as the elimination of discriminatory practices. Within this context the University seeks to ensure that individuals to whom this policy applies are:

- treated with respect and dignity
- find it possible to participate fully in the life of the University
- are recognised for the varied contributions that contribute to Hope's mission
- have equal access to opportunities so as to maximise their personal, academic and professional development

Underpinning this approach is the principle that no individual will receive less favourable treatment on the grounds of gender, marital status, gender reassignment, racial group, disability, sexual orientation, religion or belief, age, socio-economic background, trade union membership, or any other irrelevant distinction. At Hope the individual and individuality matter. We hold students, staff and visitors in high regard and we foster a working and learning environment that recognises and respects differences.

Responsibility

The University Council has overall responsibility for ensuring that Hope operates within this framework and delegates detailed consideration of policy development in this area to its Staffing Committee. Responsibility for implementation of this policy lies with the Rectorate and Senior Management Teams and for monitoring of its success with Staffing Committee and the Equality and Diversity Steering Group. Equality analysis is undertaken whenever new policies or procedures are proposed or amended. The University recognises that all of its staff and students have a duty to support and uphold the principles contained in this policy and supporting policies and schemes. The commitment of all members of the community is required to make the policy a success. Every employee is required to assist the University to meet its commitment to provide equal opportunities in employment and avoid unlawful discrimination.

Staff with responsibility for research governance (see Figure C1) are charged with ensuring that research undertaken by the University does not contravene the policy. Equality and diversity matters in relation to research may impinge on ethical approval, should be taken into account when designing research methodologies, and be made explicit in applications for ethical approval.

In keeping with regulatory requirements and Hope's values, REF 2014 was governed by Hope's Code of Practice for the Fair and Transparent Selection of, and REF 2021 entries will be governed by similar principles in line with best practice and legal frameworks as outlined in this document.

The terms of reference for the University's REF 2021 Steering Group, RRTEG and UoA-coordinators include a responsibility to "*promote and monitor ethical practice and ensure all equality and diversity standards are adequately met*".

Membership and ToR of REF-Rectorate Team Executive Group (RRTEG)

The RRTEG is Chaired by the Vice-Chancellor and Rector of Liverpool Hope University and the membership consist of (1) REF institutional lead; and (2) Faculty deans. The ToR is:

1. To receive recommendations from the Chair of REFSG on the University's REF preparations during the formative stages and final recommendations for submission and sign-off by the VC.
2. To ensure that policies and procedures are followed as per the agreed Code of Practice.
3. To ensure that submissions are in accordance with the University's code of practice on preparing, reviewing and developing submissions
4. To ensure that reviews are rigorous and independent
5. Promote and monitor ethical practice and ensure all equality and diversity standards are adequately met

Membership: VC (in the Chair); Faculty Deans. Chair of REFSG who the REF-institutional lead is also.

REF 2021 Steering and RRTEG Groups, Panel to Consider Individual Staff Circumstances, Unit of Assessment Coordinators

Terms of Reference and Membership of REFSG:

A. Preamble

In preparation for the next Research Excellence Framework (REF 2021), Liverpool Hope University needs to plan very carefully. As a University that has serious research ambitions we want to consolidate the place of research in the University and build on the progress made in the REF 2014. A central and very important part of the University's preparations is the establishment of a REF steering group (REFSG) as a sub-group of the University's Research Committee.

B. Role and Responsibilities

The REF steering group is responsible, under the REF-institutional lead who will Chair this steering group, for preparing the University for the REF. The following key REFSG roles are shown below:

1. Keeping the University fully informed on the way in which the REF will operate across the various disciplines. This will include regular updates to the senior academic leaders across the University (Rectorate, Deans and Heads of Department).
2. Deciding which Units of Assessment (UoAs) will be submitted to the REF based on quantitative data (research income, outputs and case studies) and qualitative data (internal and external peer review on the quality of the UoA). Final approval in this regard rests with the Rectorate Team.
3. Coordinate, monitor and evaluate activities to generate impact case studies for the REF, making recommendations on areas of strategic importance to Research Committee on Hope's readiness for REF.
4. Embedding impact and engagement activities as an intrinsic part of research across the university.
5. Receive reports from the Impact Seedcorn scheme (HIEF: Route-To-Impact Funding; REFocus; REFine and REFresh funding initiatives), and evaluate the success of this in generating impact, especially for the REF.
6. Oversee the communication of impact and public engagement activities, making recommendations to Research Committee on strategic matters.

7. Planning submissions: this will not simply be a matter of looking at what is happening and making the most of what is already in place or is likely to be in place in REF census point. The group will be much more pro-active. It will, for example, advise on strategy (recruitment of PhD students, creation of institutional and Faculty research structures, actively seek out staff who need encouragement and/or support to complete work in time for submission and advise on areas where resources should be targeted. The mechanism for acting upon this advice is two-fold: first the REFSG will inform decisions at Research Committee; second the REFSG will inform decisions at Faculty Research Committees. The individual UoA coordinators will be responsible for devolving information at UoA level and for informing the REFSG of preparations for the unit.
8. Recommending the appointment of external UoA advisors. These persons should be research leaders at other UK Universities who have significant experience of the RAE/REF process. Final approval of the External Advisors appointment rests with the Rectorate Team/RRTEG.
9. Reading and approving any documentation that is prepared as part of the REF process e.g. the Equality and Diversity Code of Practice, Equality Impact Assessments and, institutional REF narrative.
10. Provide a forum to share good practice which exists in all parts of the University, evaluate the success of research activities, and help develop and manage new initiatives.
11. Monitor and report on issues concerning Open Access publishing, especially where this concerns requirements for REF.
12. Receive reports on the functioning of the Liverpool Hope Research Repository (HIRA – Hope's Institutional Research Archive), and consider issues relevant to research strategy, such as embargo period, sharing records with other repositories, and rates of deposit.
13. Oversee Open Data developments, and the archiving, preservation and access requirements for data generated by researchers in REF context.
14. Consider, monitor and report upon new developments in publication of research results and research data, especially in terms of innovative models of digital dissemination.
15. Make recommendations for communication about, and support of, open access and open data requirements for academic staff.
16. Receive reports on the functioning of the Academic Profiling System (APS) and consider issues relevant to research strategy.
17. Promote and monitor ethical practice and ensure all equality and diversity standards are adequately met.

C. Membership

As the University REF submission takes shape the membership will need to change as decisions are made.

The membership will include:

Chair: Currently Professor Atulya K. Nagar – Institutional lead for REF 2021 (and who led REF 2014)
The Chair of the University's Research Committee (ex officio member)
The Chairs of Faculty Research Committees (ex officio members)
Unit of Assessment coordinators (nominated by the Faculty Deans)
The Personnel Office's Equality and Diversity Adviser (Currently Mrs Theresa Lewin)
A representative of the University's Library and Learning Spaces (Currently Ms Susan Murray)
Associate Dean for PGR (Currently Dr Janet Speake)
Research Facilitator (Currently Mr Colin Copper)

Secretariat (Currently Mrs Sue Creaney)

By invitation:

A representative of the University's Finance Department

A representative of the University's IT Services

D. Reporting Structure

The REFSG will report directly to the University Research Committee and responsible to the Rectorate Team (including RRTEG)

REF 2021: Process for sending outputs to External Advisers, and UoA Coordinator's tasks/duties

The Chair of the REFSG is the REF lead in the University and is ultimately responsible for the University's REF submission and works in consultation with the Vice Chancellor and the University Rectorate Team to oversee management of preparations for the REF and make strategic decisions around submission. The University's Research Committee, which reports to the Senate, receives regular reports on REF.

REF UoA Coordinator:

- Acts as the main contact between the UoA/Department for matters relating to REF/REFSG and the Chair of REFSG, leading on REF related issues and support the Chair in liaising with the External Adviser(s) for the UoA.
- Works closely with colleagues in the UoA and the REFSG Chair on the Impact and Environment narratives to ensure that all aspects of the UoA's REF submission are fully covered.
- Acts as a point of contact with the REFSG for matters relating to Impact. Supports the identification, development and evidencing of impact arising from research in the UoA/department.
- Acts as the point of contact with the REFSG for matters relating to Environment and works as part of a team with the REF Lead. Considers strategies for improving the Environment of the UoA and champions these where appropriate. Maintain a draft research strategy throughout the REF cycle period, reviewing annually with appropriate Heads of Department/Dean and FRC Chair. Support the Unit with their impact and environment narratives
- Coordinate and collate materials/outputs: It is the responsibility of the REF UoA coordinators to collate the outputs to be sent out to their External Adviser.
- Attend the REFSG to ensure that there is clear communication between the REFSG and the UoA/Department
- To work with the Chair of REFSG and provide with all necessary details about the unit
- To work closely with the Head of Department and Dean/Associate Dean in helping shape up the unit's submission
- Attend workshops and events organised by the Chair of REFSG and REF team
- Help the Chair of REFSG with the REF2021 submission process
- Other similar aspects related to REF (e.g. Open Access; Data; identification of outputs from former colleagues; etc) and as directed by the Chair of REFSG.

All liaison between the University and the REF External Adviser(s) must take place via Chair of REFSG's office. The UoA coordinators will support in this process by, for example, providing along with the materials, a summary of what is being sent out and how many outputs are enclosed/attached should be provided. This should accompany the report pro-forma (available in MS Word format) which should be completed with as much detail as possible. For example; UoA title, Unit coordinator's name, name of staff members whose outputs are being sent out and their FTE etc.

This should then be handed over to the following:

1. Arts & Humanities – Chris Leyland
2. Education – Eileen Kavanagh
3. Science – Chris Leyland/ Clare Bramwell

These materials will be sent out (either electronically or by normal post, depending on the format they are received) by the above colleagues, along with a brief covering letter from the Chair of REFSG. The covering letter will include a generic message plus the details of the summary provided by the Unit Coordinator along with a date by which the reports need to be provided by the External Adviser.

All materials and reports from the External Advisers will need to be sent directly to the Chair of REFSG's Office who will then disseminate the reports to the Deans/HoDs for discussion and dissemination to the Unit of Assessment and will also return all the materials that were sent out to the Unit Coordinator through the internal post system.

Sample/draft letter to be sent out to the REF External Advisers along with materials for evaluation and independent opinion. The reports should be sent to the Chair of REFSG only:

Dear XXXX

Thank you for your continued support in advising the XXXXXXXX UoA with their REF submission and we much appreciate your feedback which is proving very useful as we prepare ourselves for submission.

As you know your principal role that we would like you to undertake is to advise the Unit of Assessment Coordinator, together with the Chair of the REF steering group (REFSG), of the quality of proposed research outputs in the area. In addition, however, we would welcome advice on Impact Narratives and draft materials relating to Research Environment.

As REF lead for the University, I am your main point of contact. The Unit coordinator XXXXXX has provided the enclosed materials for your feedback along with the attached Pro Forma for your report.

…. A summary of what is being provided by the UoA coordinator …

Due to its confidential nature, your reports must only be sent directly to my office or via my email address (atulya.nagar@hope.ac.uk).
Yours sincerely, Chair of REFSG.

Committee to Consider Individual Staff Circumstances

Terms of Reference

1. To ensure that the arrangements for the confidential and voluntary declaration of staff circumstances and their assessment are carried out in accordance with the University's Code of Practice for REF 2021 and REF 2021 Guidance on Submissions (REF2019/01, January 2019).
2. To receive and assess all declarations of circumstances requiring judgement and identify an appropriate reduction in outputs.
3. To receive a sample of clearly-defined circumstances to ensure that these have been dealt with in accordance with the Code of Practice and the reductions set out by the REF Guidance.
4. To approve the content of the outcome/feedback to members of staff and information to be passed on to the Unit of Assessment Leaders.
5. To consider responses from Heads of School as to the adjustments that have been made to the expectations of the member of staff's contribution to the REF pool of outputs.
6. To specify and consider equality analyses to inform the work of the panel.
7. To report to the University's REF Steering Group on cases considered and their outcome.
8. To provide an assurance report to the University's Equality and Inclusion Committee on the circumstances received and all due processes outlined in the Code have been followed.
9. To lead the production of an Equality Impact Assessment for submission to the funding bodies after the REF 2021 submission deadline.

Membership

Chair: Senior academic with experience of Equality and Inclusion

Members:

- Two members of academic staff for each REF 2021 Main Panel area. In the interests of independence, members will not be members of the University's REF 2021 Steering or Review Groups, nor REF 2021 Unit of Assessment Leaders.
- Head of Equality and Inclusion, Faculty Head(s) of HR, a member of the University's central REF 2021 team.
- Union representative

Requesting Unit reductions

A UoA can exceptionally request a reduction in the overall number of outputs where:

- there is a small unit with a high proportion of staff with relevant circumstances; or
- the discipline is one with a tradition of lower numbers of outputs

Criteria for removing the 'minimum of one' requirement

All 'Category A Submitted' staff must be returned with a minimum of one output attributed to them in the submission, including staff with equality-related circumstances. However, where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period, so that they have been unable to produce an

eligible output[13], a request may be made for the 'minimum of one' requirements to be removed. Where the request is accepted, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the unit will be reduced by one. Paragraphs 179-180 of the 'Guidance on Submissions[14]' detail the applicable circumstances, which are summarised below:

- An overall period of 46 months or more absence from research, or circumstances equivalent to 46 months or more absence from research, within the period 1 January 2014 to 31 July 2020, due to one or more of the circumstances set out in the Table C1 below.

- Two or more qualifying periods of family-related leave.

Where the above does not apply, but the individual's circumstances are deemed to have resulted in a similar impact (including where there are a combination of circumstances that would not individually meet the thresholds set out), a request may still be made.

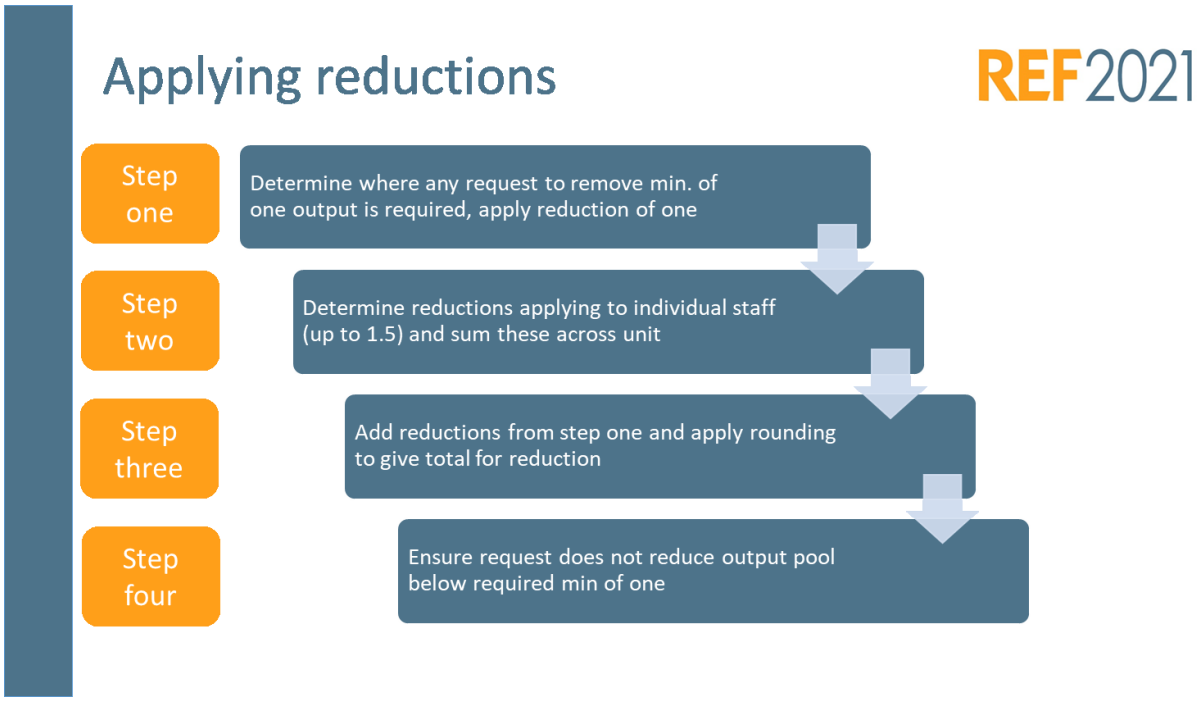


Figure C2: Procedure for calculating and applying reduction to the output pool (source – REF 2021 GoS document[14])

[13] Ineligible outputs include those where the submitted staff member has not made a substantial research contribution, or where the output is not the product of research.
[14] https://www.ref.ac.uk/publications/

Eligible circumstances

The funding bodies have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of eligible staff to produce outputs or to work productively throughout the assessment period. Further details are provided in Annex L of the 'Guidance on Submissions[14]' and are reproduced below.

Qualifying as an early career researcher (ECR)	Category A eligible staff who started their research careers as independent researcher on or after 1 August 2016.
Secondments or career breaks	Absence from work due to secondments or career breaks outside of the HE sector that lasted at least 12 months.
Family-related leave	Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave. Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially between 1 January 2014 to 31 July 2020.
Junior clinical academics (at LHU we don't have this category of staff currently)	Clinically qualified academics still completing clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or equivalent prior to 31 July 2020.
Circumstances equivalent to absence	Usually require a judgement about the appropriate reduction in outputs, including: • Disability • Ill health, injury, or mental health conditions • Constraints relating to pregnancy, maternity, paternity, adoption or child care that fall outside of, or justify the reduction of further outputs in addition to, the allowances made above, • Other caring responsibilities • Gender reassignment • Other circumstances relating to the characteristics protected by employment legislation.

Table C1: Eligible Circumstances

1. Early career researchers (ERC): Permitted reduction in outputs

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

Table C2: Early Career Researcher – permitted reduction in outputs

2. Secondments or career breaks: permitted reduction in outputs

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

Table C3: Secondments or career breaks – permitted reduction in outputs

3. Qualifying periods of family-related leave

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

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

4. Combined circumstances

The total output pool may be reduced by up to 1.5 where individuals have had a combination of circumstances.

5. Request for the removal of a minimum of 1 output (where the member of staff has not been able to produce an eligible output):

a. Two periods of qualifying family-related leave
b. Overall period of absence of 46 months or more during the assessment period
c. Circumstances equivalent to 46 months or more absence

There will be four deadlines for the submission of requests for circumstances, with clearly stated deadlines for feeding back the outcome of the assessment, as follows: staff who wish to disclose circumstances and are willing to provide the associated information should complete the form available in Appendix F, and submit it before one of the four deadlines of 31st May 2019 (feedback by 28th June 2019), 30th June 2019 (feedback by 19th July), 30th October 2019 (feedback by 20th November 2019) and 17th January 2020 (feedback by 14th February 2020). The schedule reflects the funding bodies' deadline for the submission of cases for consideration. There may be a fifth deadline (precise date in May-July 2020 to be confirmed) depending on the requirements. Where a member of staff joining the University after this date declares circumstances and it is agreed to make a request for a unit reduction in outputs, this request will be made alongside the submission.

Deadlines for the submission of requests for circumstances	Deadlines for feeding back the outcome of the assessment
31st May 2019	28th June 2019
30th June 2019	19th July 2019
30th October 2019	20th November 2019
17th January 2020	14th February 2020
May – July 2020	15th July 2020

Table C4: Deadlines for the submission of requests for circumstances, with clearly stated deadlines for feeding back the outcome of the assessment

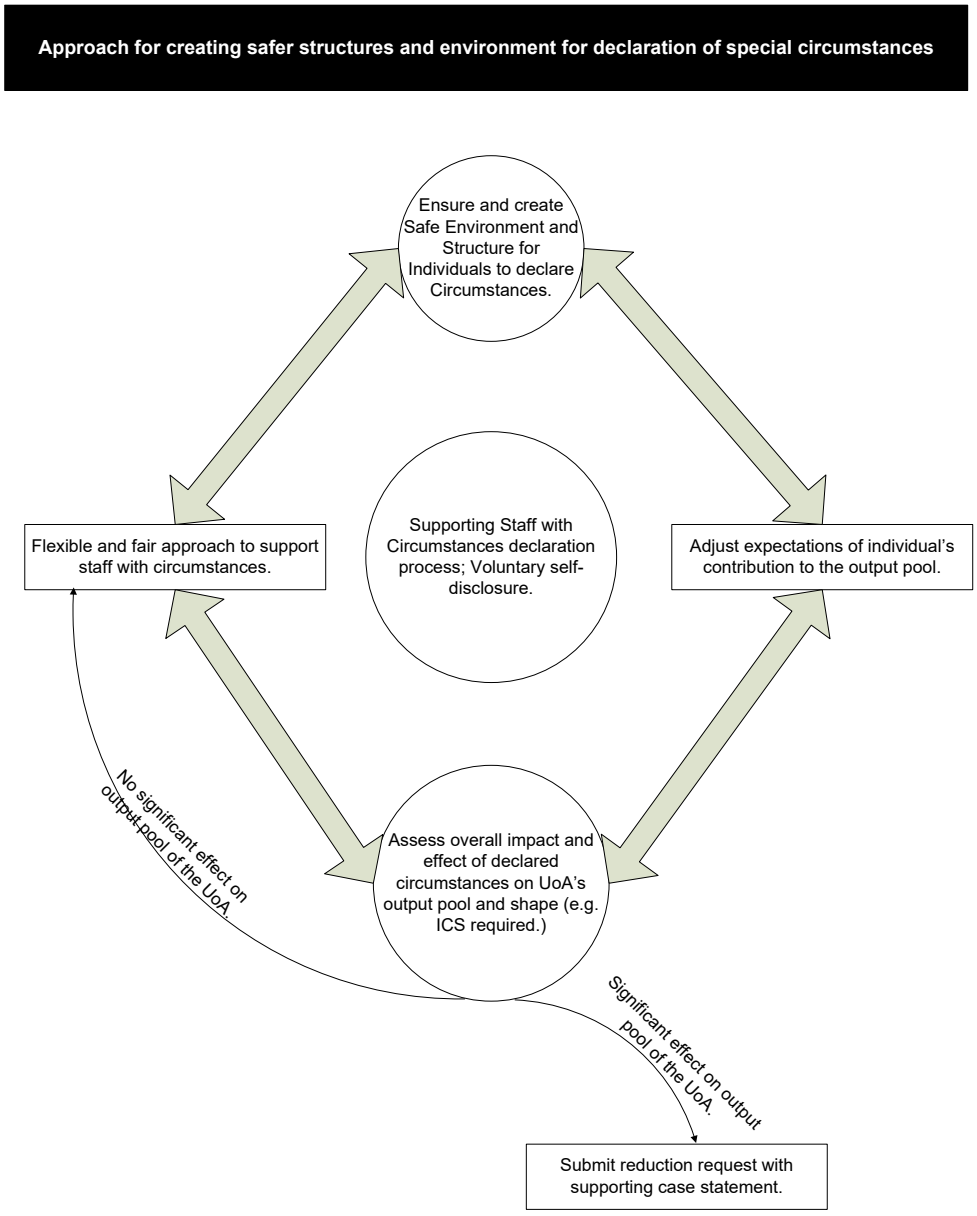


Figure C3 (same as Figure 4): Declaration of circumstances and structures and environment to enable this

APPENDIX D: Schedule of Training and a Plan for Consultation and Communication

Training and Communication Plans

E&D Related Training Completed Ongoing

The training described below is mandatory for the target audiences specified and will be delivered by the Personnel

Target audience	Scope of training	Delivery	Timing
All UOA Coordinators, REF Steering (REFSG) and RRTEG Group members, Heads of School/Department, members of the staff circumstances panel	Introductory grounding in key principles of equality, inclusion and diversity, including the potential impact of unconscious bias and ways of mitigating against it. This is a prerequisite for role- and REF-specific training below	On-line introductory module on Equality and Diversity/Unconscious Bias.	Pre-requisite for other training listed below. Some of this training is on-going and has already been delivered (e.g. Equality and Diversity (E&D); Unconscious bias; etc) At LHU all staff involved in Research and REF are provided training on E&D by the Personnel Office. This training takes place at least once per annum and E&D is a standing Agenda item on the REFSG.
UOA Coordinators	Introduction to the Code of Practice (CoP), with emphasis on the purpose and method for declaring and assessing individual staff circumstances and seeking reductions in outputs, and the fair and transparent	Face-to-face presentations delivered by Chair of REFSG and Personnel via regular UOA team meetings and REFSG meetings.	Summer 2019

Target audience	Scope of training	Delivery	Timing
	selection of outputs for inclusion in the submission.		
Rectorate Team (RT) including its subgroup i.e. REF-RT Executive Group (RRTEG)	Introduction to the Code of Practice	Face-to-face presentations delivered by Chair of REFSG and the Personnel staff (e.g. HR Manager)	Summer 2019
REFSG members	Guidance to support the Steering Group in ensuring that the Code is implemented, including the interpretation of equality analyses	Face-to-face presentation at Steering group meeting delivered by the Personnel staff (e.g. HR Manager)	Summer 2019
Heads of School/Department and Faculty Deans	Introduction to the Code of Practice, with particular emphasis on the role of Heads of School/Department and Faculty Deans in the processes to identify Category A submitted staff and in relation to staff circumstances	Face-to-face presentations delivered by Chair of REFSG and the Personnel staff (e.g. HR Manager)	Summer 2019
Members of the staff circumstances panel	Introduction to the Code of Practice, with particular emphasis on the process and purpose of declaring and assessing staff circumstances	Face-to-face presentation/workshop delivered by Chair of REFSG and the Personnel staff (e.g. HR Manager), including practical session on assessing (fictional) staff circumstances cases using examples from REF2014 training material as appropriate	Summer 2019
Members of Equality and Diversity Steering Group	Introduction to the Code of Practice, with particular emphasis on the process and purpose of declaring and assessing staff circumstances	Face-to-face presentation/workshop delivered by Chair of REFSG and the Personnel staff (e.g. HR Manager), including practical session on assessing (fictional) staff circumstances cases using examples from REF2014 training material as appropriate	Summer 2019 To be done on 5th June 2019.

A Plan for Consultation and Communication of the CoP

Activity	Purpose	Target audience	Delivered by	Timing
Open meetings; HoDs meetings; various electronic circulations; REFSG meetings; Senate UoA coordinators (including on-to-one meetings); HoDs and Deans to update colleagues in the School/Dept/Faculty	To introduce REF2021 in general, referring to draft guidance and provide opportunity to contribute to consultation. Differences from REF2014 highlighted. This also included regular updates on the University's preparations for REF 2021; how we are performing and what the new REF will look like; summary of REF 2021 and our institutional response to the REF Consultations	Any staff, but targeted at research and academic staff	Chair of REFSG	At various points in 2016, 2017, and 2018
REFSG in February 2019 and HoDs meeting and Senate in March 2019	Introduction to topics to be covered by the Code of Practice. Opportunity to contribute to development of Code at an early stage; opening the consultation process	Members of these committees and via UoA coordinators to academic colleagues in School/Dept/Faculty	Chair of REFSG/UoA Coordinators	6th February 2019; then 11th March 2019 (HoDs meeting) and 13th March 2019 (Senate)
Open meeting Meeting with Union colleagues	To introduce key points from the final guidance and to discuss principles underlying approaches to issues in the Code and the University's approach to CoP and consultation/feedback on the CoP	Any staff, but targeted at research and academic staff A meeting organised by the Personnel with a group of UCU colleagues for consultation	Chair of REFSG Chair of REFSG/the Personnel	8th May 2019 (Group 6) 9th May 2019 (Group 8) 20th May 2019 (Group 7) 21st May 2019 (Group 2) 22nd May 2019 (Group 5) 23rd May 2019 (Group 4) 29th May 2019 (Group 3) 30th May 2019 (Group 1) 24th April 2019 (meeting with Union Colleagues)

Activity	Purpose	Target audience	Delivered by	Timing
Electronic Circulation of draft code for comment	Consultation - To introduce the full draft code and elicit comments to contribute to the development of the code	All academic staff (including those on leave), professional staff supporting implementation of the Code (Equality and Diversity; Personnel)	Electronic circulation (intranet), supplemented by news item on staff electronic bulletin; intranet (password protected website) and, circulation to Equality and Diversity Steering Group; External Advisers' Network	1st May – 12th May 2019
		Discussion via Joint Committee of University and Unions i.e. Joint Consultative and Negotiation Committee (JCNC)		21st May 2019
Drop-ins	Face-to-face meetings to raise any questions about the draft code of practice, contribute to consultation on the draft Code	Any staff, but targeted at academic staff	Chair of REFSG and the Personnel	At least 3 meetings during the consultation period (1st May 2019 – 31st May 2019)
Open meetings	Communicate the content of the Code and provide an opportunity for staff to ask questions and raise any issues of concern. Included in Staff Induction sessions for new staff joining the University as well.		Meeting can be arranged by emailing Paula Jenkins at jenkinp@hope.ac.uk (PA to the Chair of REGSG)	Summer 2019 (following approval of the Code for submission to the funding bodies); please also see dates listed above under Open meeting
Drop-ins	Face to face meetings to discuss any questions about staff circumstances (in addition to confidential, individual meetings with the Personnel Office)			

Activity	Purpose	Target audience	Delivered by	Timing
Electronic circulation of information about the processes to identify staff with significant responsibility for research/independent researchers	Inform staff of processes, timescales, feedback and appeals arrangements	Staff whose roles are to be considered under these processes		Summer 2019 (following approval of the Code for submission to the funding bodies)
Electronic circulation of invitation to declare staff circumstances	Invite colleagues to confidentially, voluntarily declare circumstances.	Academic staff	The Personnel team (via dedicated email address)	Summer 2019 (following approval of the Code for submission to the funding bodies)
Confidential meetings	Optional face-to-face meetings with the Personnel team to discuss personal circumstances	Staff considering declaring circumstances	Personnel	Ongoing from launch of invitation to declare circumstances (Summer 2019)
Open meetings	To up-date on progress with the submission and provide an opportunity to feedback	All staff	REFSG Chair, supported by the Personnel team	Autumn 2019, Early 2020 and Early 2020 (to coincide with rounds of full draft submission preparation)
Electronic circulation	Email and intranet/website updates complementary to the open meetings described above	All staff	Chair of REFSG and UoA Coordinators	On-going through the REF 2021 preparation period
Electronic circulation	Confirmation of the completion and thanks to staff for contribution	All staff	Chair of REFSG	

APPENDIX E: Equality Impact Assessment (EIA)

This section will be updated following completion of the EIAs. We will carry out equality impact assessments:

- when identifying staff with a significant responsibility for research (SRR) including SRS
- when determining research independence (RI)
- when selecting outputs for submission, including consideration of both co-authorship and attribution of outputs in the submission
- when considering appeals against identification of staff who do not have significant responsibility for research or who are not independent researchers
- when preparing draft submissions
- when preparing the final submission.

Characteristics	% eligible staff submitted In REF 2014		% eligible staff to be submitted in REF 2021 (i.e. SRR and IR)		% with SRS
Male	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		
	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		
Female	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		
	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		
Asian	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		
	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		
Black	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		

	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		
Chinese	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		
	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		
White	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		
	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		
Disabled	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		
	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		
Non-disabled	PDTF		PDTF		
	Lecturer		Lecturer		
	Senior Lecturer		Senior Lecturer		
	Associate Professor		Associate Professor		
	Principal Lecturer		Principal Lecturer		
	Professor		Professor		
	Others		Others		

APPENDIX F: Appeals Form and Staff Circumstances Declaration Template

REF 2021 Appeals Form Template

1. Individual details

Name	
Role	
School/Service	
Date	

2. Grounds for appeal

In completing this form, I wish to lodge a formal appeal on one or more of the following grounds:

The criteria for selection of academic staff with significant responsibility for research or for independent research were not applied in accordance with the University's REF Code of Practice in respect of my eligibility for inclusion in the University's REF submission.	
There was a material error in the data used by the REFSG in applying the criteria to determine my eligibility for inclusion in the University's REF submission.	

3. Detail of grounds for appeal

Please provide information below to support this appeal. Please continue on a separate sheet if required and append supporting documentation as appropriate.

As indicated by the funding bodies: "… To ensure that institutions' approved codes of practice are implemented fairly and consistently, the funding bodies will put in place measures to enable individuals to make a formal complaint, where it is believed that the agreed processes are not being followed. **Individual complaints will not be able to challenge the adequacy of an approved code itself.**". (REF2019/3.)

Information on this process will also be provided on REF 2021 website when this is available.

Declaration of Individual Staff Circumstances template

Liverpool Hope University: Declaration of Individual Staff Circumstances template

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see 'Guidance on submissions', paragraphs 117-122). As part of the 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 entered into REF 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 heath, 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

Forms and supporting evidence are requested to be submitted to the Personnel Office by post or email at: lewint@hope.ac.uk, marked '**Confidential: Individual Staff Circumstances**'. Returned forms and all supporting evidence forms will be held securely by the Personnel.

The Personnel Office will review each application and determine if it is a straightforward application under applicable circumstances outlined above and/or if the circumstances are more complex and a panel discussion is required. The panel will comprise academic staff from each REF main panel area, the Chair of Equality and Diversity Steering Group, Theresa Lewin (staff E&D contract) and a trade union observer. The panel will be chaired by a senior academic with experience of equality, diversity and inclusion. The Personnel Office will review cases and evidence in advance for presentation to the panel. All members of staff involved with this process will demonstrate utmost confidentiality. A decision will be made on the evidence available and presented for the purposes of reduction of outputs from the overall Unit of Assessment. The panel will also review straightforward applications for applicable circumstances described above. All individuals will be informed about the outcome of their application within one month, by the Chair of the individual circumstances panel. The Unit of Assessment Coordinator will be informed about the outcome of the application, via the Personnel Office but no information on the nature of the circumstances will be shared. We acknowledge that there may be declarations for the purposes of REF2021 which may not be disclosed within the context of the employment relationship of an individual within the University. This information will only be held for the purposes of the REF2021 exercise and will be confidentially destroyed once the exercise is completed, all audit periods have been completed and the results are published.

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 Manager to provide the updated information.

To submit this form you should be emailed (LEWINT@hope.ac.uk) or posted to: Mrs Theresa Lewin, HR Manager, Liverpool Hope University, Hope Park, L16 9JD.

Name: Click here to insert text.

Department/School: 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
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). *Date you became an early career researcher.*	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here ☐
Career break or secondment outside of the HE sector. Dates and durations in months.	Click here to enter dates and durations.
Family-related leave; • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. *For each period of leave, state the nature of the leave taken and the dates and durations in months.*	Click here to enter dates and durations.
Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when*	Click here to enter text.

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

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 *Mrs Theresa Lewin, or relevant HR Manager/Director of Personnel in the Personnel Office and circumstances panel members.*

- 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 Theresa Lewin (staff E&D contact) 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

To complete the form, open/download this form here: The form will also be available on the University's intranet and via staff bulletin.

Deadlines for the submission of requests for circumstances	**Deadlines for feeding back the outcome of the assessment**
31st May 2019	28th June 2019
30th June 2019	19th July 2019
30th October 2019	20th November 2019
17th January 2020	14th February 2020
May-July 2020	15 July 2020

Table C4: Deadlines for the submission of requests for circumstances, with clearly stated deadlines for feeding back the outcome of the assessment

APPENDIX G: LHU's Timetable for Submission Development; and other miscellaneous documents shared with colleagues in the University

Colleagues in the University have access to Hope Impact; Hope Environment online software systems (designed in-house) called REFlect. The University supports development of Research Impact via Impact and Research funding calls such as Route to Impact; REFocus; REFine and REFresh; REDF. LHU's REF modelling/planning and decision-making tool, called REFit, is shared with UoA Coordinators, HoDs/Deans, which provides an update on state of play with respect to REF readiness and includes regular updates from the Stocktake/Review exercises. A screen shot of this modelling tool is included below for information (this was last updated in January 2019 and the next update will be shared with colleagues in September/October 2019 as part of the University's regular Stocktake/Review Exercise.)

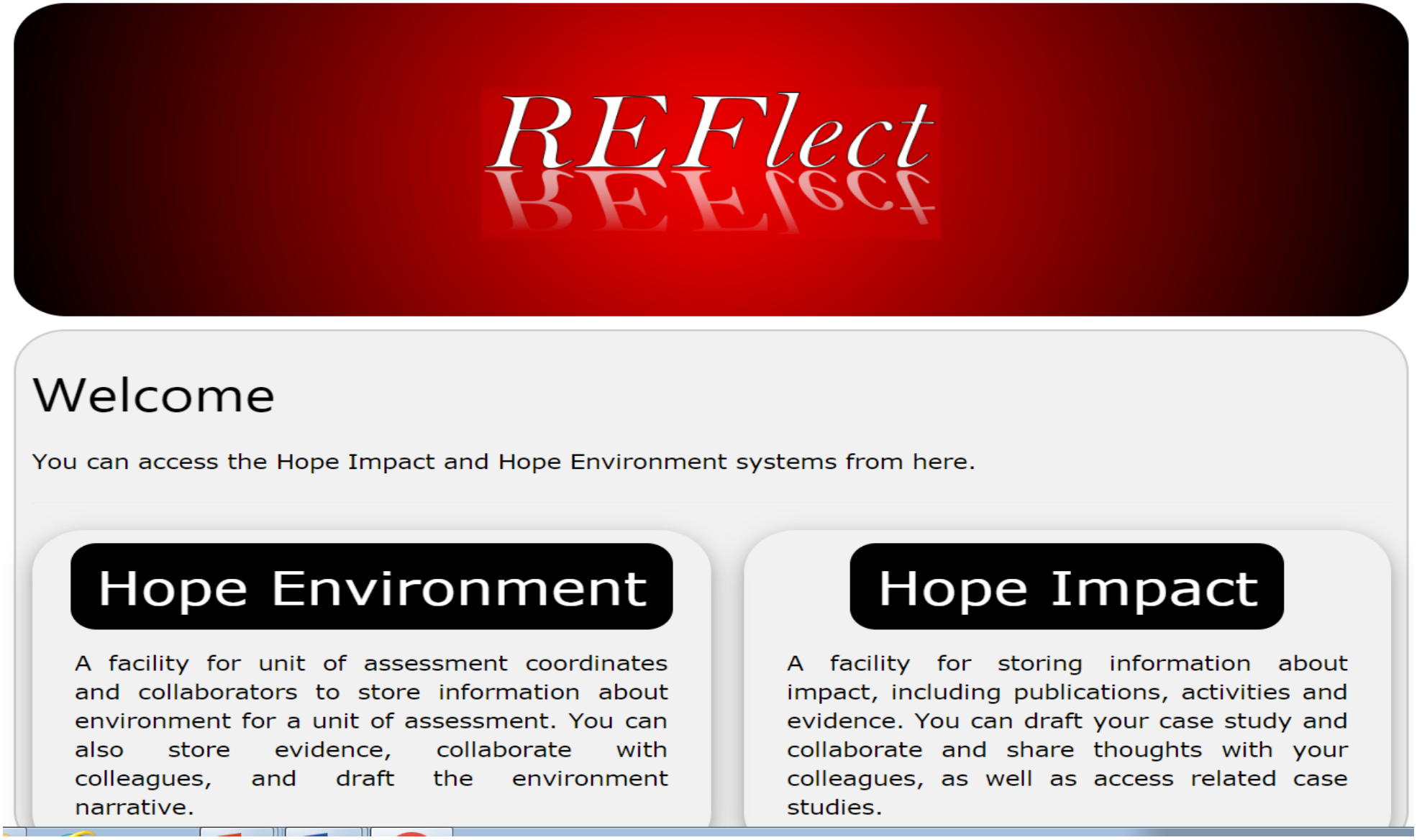
Tools like REFit and REFlect have been developed in-house to support Research and Scholarship and are mentioned by the IT Services. Colleagues have access to these software systems via the University's intranet. Appropriate care is taken to maintain transparency on one hand and data protection on another. The University has also developed a SAM (Staff Allocation Model) to model staff teaching allocation.

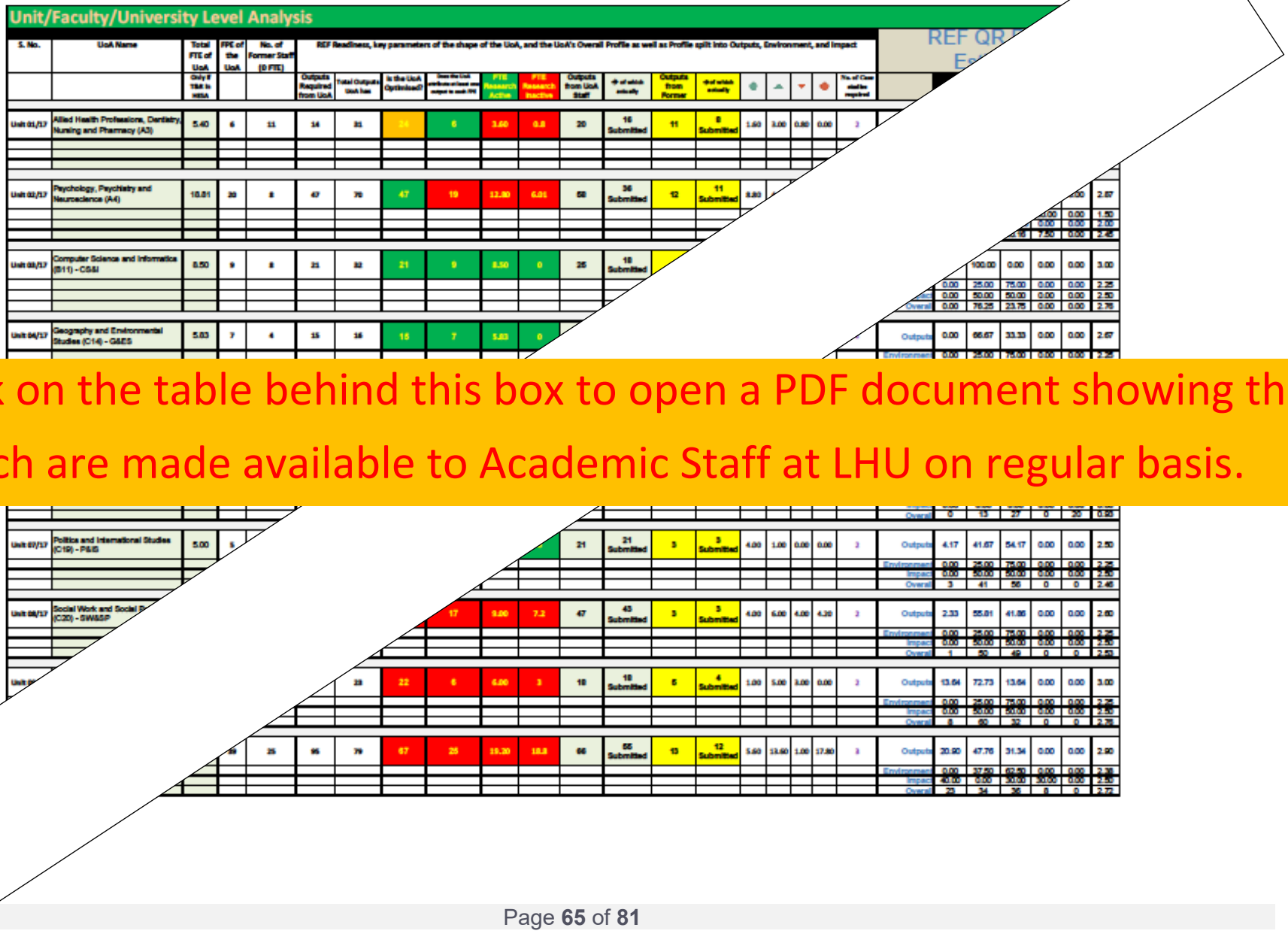
Also included in this Appendix is

(1) The University's REF 2021 Planning Schedule which was approved after revisions by the Rectorate Team in January 2018.

(2) A letter to all academic staff in the University from the Chair of REFSG inviting comments and feedback as part of University wide consultation on the CoP.

(3) A set of questionnaires as part of the consultation as in (2) above.


REFlect
Welcome
You can access the Hope Impact and Hope Environment systems from here.
Hope Environment
A facility for unit of assessment coordinates and collaborators to store information about environment for a unit of assessment. You can also store evidence, collaborate with colleagues, and draft the environment narrative.
Hope Impact
A facility for storing information about impact, including publications, activities and evidence. You can draft your case study and collaborate and share thoughts with your colleagues, as well as access related case studies.


Unit/Faculty/University Level Analysis
Double-click on the table behind this box to open a PDF document showing these reports which are made available to Academic Staff at LHU on regular basis.

PREPARATIONS FOR REF 2021 – TIMELINE

LHU's Plan for REF 2021 preparations (approved by the Rectorate Team after revisions on Monday 8th January 2018)

In this document, Key deadlines/dates for Departments and UoAs are highlighted in red for ease of reference. Official FUNDING BODIES/Research England (currently HEFCE in 2017/18) deadlines are shown in blue font.

1 August 2013	**Start of period for income and impacts**
1 January 2014	**Start of period for outputs**
Ongoing	UoAs and Departments (via UoA Coordinators) to: ➢ Keep records of planned and published research (an outputs database). **NB**: **all journal articles and conference proceedings with an ISSN/ISBN MUST be deposited with HIRA Online within 3 months of the final author version being accepted by the publisher or they will not be eligible for the REF.** Database should include a double-weighting flag for works expected to be of extended scale and/or duration. ➢ Log instances of potential/actual 'impact' at UoA/departmental level and ensure colleagues collect testimonials/evidence on an on-going basis. ➢ Keep a log of environment related materials e.g. seminar series; esteem indicators (such as editorial board memberships, key events organized, etc); Faculty/School/Dept strategy and operational aspects/evidence of the strategy. ➢ Use Hope Impact capture software system as a tool to plan Impact and also document and capture evidence. ➢ Contact Prof A Nagar (nagara@hope.ac.uk) for any questions related to impact or for any aspect of REF. ➢ External Advisors have been appointed in each of our potential UoAs. These are annually reviewed and the fee we pay is per annum. Please continue to seek advice and feedback (on all three aspects of REF) as and when new materials (e.g. new outputs, revised impact evidence, etc) become available.
Autumn 2017	**FUNDING BODIES/RE to publish initial decisions on the next REF (this has already happened)**
Autumn 2017	**FUNDING BODIES/RE to appoint sub-panel chairs (Main panel Chairs, sub-panel chairs have already been appointed. Panel members are being appointed now).**

November 2017	Three years to go. **We are now in January 2018, that means 34 months to go before the submission.**
January 2018	We are here in January now and it is 34 months to go before we make our REF 2021 submission. As reported in November/December 2017, in terms of our 'REF-readiness' approx. 55% of eligible staff are fully REF ready at this stage (November 2017) in the REF cycle and further 27.5% are on course to become REF submissible when we consider research outputs only (i.e. publications that are REF-able at an average 3* profile). This means that we could potentially have approx. 82% submission in REF 2021 and given our 55% staff submission at the REF 2014 exercise, this figure is already looking promising. However, when we consider impact case studies from UoAs/departments, some units are progressing well but majority of our UoAs need to do further work to enhance their impact case studies. With an increased emphasis on Impact now to 25% (up from 20% in REF 2014) it becomes even more important that we ensure strong case studies and evidence base. FUNDING BODIES/RE have not yet discussed the impact issues from the consultation so we are in the dark on many of these. Impact case studies can be enhanced during this period and the Impact Strategy Group will be working with the UoAs to create initial shortlists by early 2018. As a starting point case studies that are well advanced in the Departments are being developed further and will be refined, monitored and honed as we approach 2020. The "REFocus" call for HEIF funding has been launched (deadline was 7th December 2017) and this funding is being targeted to build strong case studies. I also strongly encourage colleagues to attend the Impact Workshops (dates advertised by the Personnel). As a reminder, compliance with Open Access is critically important. **In January 2018, RT will consider an initial report on quality of Research Outputs (as assessed by the External Advisors for our UoAs).**
2018	**FUNDING BODIES/RE to publish guidance on submissions and panel criteria**
Lent Term 2018	• Review initial data for equivalent of REF4b (research income) for Academic Years: 2013/14 (1st August 2013 onwards); 14/15; 15/16; 16/17 • **Prof Nagar with the help from Personnel review outputs from staff who have left or retired between 1st January 2014 and now.** • **Personnel to provide regular updates to Prof Nagar on new staff or staff leaving the institution as soon as possible. This will be an on-going task for Personnel from now until the REF submission/census date/HESA returns.**
February 2018	• REFSG to start to revise its REF code of practice (CoP), pending publication of the Guidance on Submissions. **Personnel will be involved here.** • REFSG to review published REF guidance
7th February and 9th May 2018	REFSG meetings to review CoP; **Personnel will be involved here.** RT to sign-off the CoP.
1 May 2018	**Departments and UoAs to provide estimated external grades for up to 4 outputs per eligible member of staff: to be submitted to Prof Nagar (nagara@hope.ac.uk). This is already happening but there are some gaps.**

Trinity Term 2018	• **Departments and UoAs to provide updated one-page draft of all potential ICS stories to REFSG – ideally this should be provided via the Hope Impact software system.** • **Departments and UoAs to provide an update on the impact templates from REF2014 (we will use this template until new ones are available).**
June Rectorate Team (RT) meeting 6th June and 4th July 2018	• RT to consider outcomes of first grading exercise, using staff and outputs data. <u>REFSG meetings plus the Impact Strategy Steering Group:</u> • REFSG to Review the ICS drafts. Ask UoAs to update case studies accordingly
June 2018	Expected publication date for draft Panel Criteria and Working Methods for consultation (this is an assumption only: no dates have been given by FUNDING BODIES/RE yet) REFSG to consider FUNDING BODIES/RE proposals by email/GDrive and Prof A Nagar to submit Hope's response REFSG to consider updates and drafts of ICSs and provide feedback
July – October 2018	Expected publication date for final Guidance on Submissions (this is an assumption only: no dates have been given by HEFC/Funding Bodies yet). **Depending on publication of Guidance on Submissions:** • Prof Nagar/REFSG to review REF timeline in the light of FUNDING BODIES/RE requirements, adjust as appropriate and communicate changes to Departments and UoAs • Prof Nagar/REFSG to draw up draft mapping of departments and colleagues onto UOAs. This will require discussions and decisions at RT meeting – in particular to flag up individuals who may be submitted to alternative UOAs outside of their 'home' UOA • Departments being submitted to the same UOA to liaise with each other • REFSG to revise its REF Code of Practice in accordance with the Guidance on Submissions. **Personnel will be involved here.** • Prof Nagar/REFSG to issue revised decision flow-chart to enable staff to work out if they are eligible for the REF and if so, how many outputs they are expected to submit • Full list of eligible staff to be drawn up • Prof Nagar/REFSG to produce a friendly 'user guide' to the FUNDING BODIES/RE guidance and a FAQ webpage to inform and help those involved in completing the submission; this should be updated regularly
September 2018	• produce initial data for equivalent of REF4a (PhDs/EdDs awarded) for Academic Years 2013/14 (1st August 2013 onwards); 14/15; 15/16; 16/17 • **Departments/UoAs to sign off PhD/EdD completion data**

2018-19 session	Internal audit and continue REF 2021 planning. Details to be confirmed, but may include REFSG communications and guidance, REF processes, systems, quality control. Income and PGR data to be reviewed and signed off as above.
November 2018	**Two years to go**
November 2018	REFSG members to look at proposed outputs for their allotted UoAs, and decide on any requests for double counting (if still allowed – exact rules yet be published) and provide feedback
December 2018	• **UoAs to provide updates on potential ICSs:** drafts of ICSs to be drawn up in the required template (which will be known by now) and submitted to REFSG/Impact Steering Group/Prof Nagar for consideration and feedback • produce initial data for equivalent of REF4b (research income) for AY 2017-18 • **Departments and UoAs to sign off research income data for AY 2017-18**
2019	**FUNDING BODIES/RE to invite HEIs to make submissions**
January 2019	• Expected publication date for final Panel Criteria and Working Methods (this is an assumption only: no dates have been given by FUNDING BODIES/RE yet) • REF code of practice to be finalised and approved by REFSG and Research Committees, and in accordance with requirements and timetable • REFSG and all other personnel involved in assessing complex circumstances to receive training (although, some of this training has already taken place/happens on regular basis) • Prof Nagar/REFSG to review REF timeline in the light of requirements, adjust as appropriate and communicate changes to Departments and UoAs
March 2019	• **Departments and UoAs to identify any sensitive/confidential ICSs in accordance with FUNDING BODIES/RE guidelines and timescales and notify REFSG** • UoA coordinators to coordinate central information and data for use in environment templates • **Departments and UoAs to start drafting their Environment narratives**
May 2019	• Personnel to issue invitation to all eligible staff to notify the Personnel Office, in confidence, of any individual circumstances (if applicable under REF rules) • Sub-group to be set up to consider individual staff circumstances (if applicable).
June 2019	**Updated drafts of potential ICSs**: full length versions in the required template to be sent to Prof Nagar/REFSG/Impact Steering Group for consideration
June/July 2019	• Prof Nagar/REFSG/Impact Steering Group to provide feedback on ICSs and circulate some sample ICSs as best practice • Expected deadline for University's REF code of practice to be submitted to FUNDING BODIES/RE (note that this is an assumption only: no dates have been given by FUNDING BODIES/RE yet)

August 2019	• produce initial data for equivalent of REF4a (PhDs/EdDs awarded) for AY 2018–19 • **Departments to sign off PhD/EdD data for AY 2018-19**
Advent Term 2019	• Final shape of the REF submission to be discussed at RT meeting and RRTEG • Individual meetings between UoA coordinators, HODs, to focus on REF preparations: who's up and who is unlikely to be up (although, much of this should be clear by Sept 2018 and this exercise in Sept 2019 is to finalise the discussions) • REFSG meeting(s) to discuss preparations for ICSs, and equivalents of REF 3a and REF 5 • initial meetings with staff who look unlikely to be submitted (although, much of this should be clear by Sept 2018 and this exercise in Sept 2019 is to finalise the discussions)
October 2019	• Expected that Survey of Submission Intentions opens (this is an assumption only: no dates have been given by FUNDING BODIES/RE yet) Personnel to send letters to staff who will not be submitted • Appeals process to begin, in accordance with University's REF code of practice • Personnel and REFSG to consider second equality impact assessment. • In light of the CoP this timetable may need to be revised as identification of SRR and determination of IR will need to take place ASAP and related processes e.g. Appeals, creation of a safe structures for declaration of circumstances will need to take please during July 2019 and December 2019; although, as outlined below, some of that process will also continue after December 2019 and until September 2020. As the University is targeting a 100% submission, it is envisaged that there won't be too many Appeals cases and that the process may not last until September 2020.
November 2019	**One year to go**
December 2019	• **Final external grading exercise**. 4 outputs per eligible person, graded, plus 2 spares. To include first drafts of all required output narratives: double-weighted outputs, abstracts for non-English outputs, co-authored outputs submitted to the same UOA twice etc. • **UOAs to provide first refined drafts of impact and environment templates**. • Deadline for eligible staff to declare any individual staff circumstances to date (if applicable) • Expected deadline for Survey of Submission Intentions (this is an assumption only: no dates have been given by FUNDING BODIES/RE yet) • produce initial data for equivalent of REF4b (research income) for AY 2018-19
January 2020	Expected deadline for REF system to go live (this is an assumption: no dates have been given by FUNDING BODIES/RE). Data to be imported to the online system.

March 2020	• REFSG to consider first equality impact assessment. Personnel will be involved here • **Departments and UoAs to indicate 'fairly final' outputs for all colleagues** • Departments and UoAs to be advised on what outputs need to be provided in hard copy or PDF format, in accordance with FUNDING BODIES/RE guidelines • **Departments and UoAs, with the help of Prof Nagar, to indicate any cross-referrals to be requested. We may need to consult our REF external advisors for this.**
April 2020	• Agree wording of template letters to be sent to staff who will not be submitted (Personnel) • With Prof Nagar and Personnel, Departments and UoAs to identify any individuals who may need a 'special case' letter; and to discuss who will receive a letter • RT to approve cross-referrals • **Departments and UoAs to send second refined drafts of impact and environment templates and updated drafts of ICSs to Prof Nagar**
May 2020	• REFSG/Impact Steering Group/Prof Nagar to consider drafts and updates and provide feedback • Personnel to prepare copies of all letters prior to sending these to individuals who will not be submitted.
Autumn Term 2020	Library to help coordinate collection and scanning of hard-copy outputs in accordance with FUNDING BODIES/RE guidelines
30 September 2020	• **Departments and UoAs to provide finalised ICSs, templates and outputs.** Minimal updating required thereafter. All required testimonials for ICSs to be secured on Hope Impact Software System • Personnel to send letters to staff who will not be submitted • Appeals process to begin, in accordance with University's REF code of practice • Personnel and REFSG to consider second equality impact assessment
October 2020	• REFSG/Impact Steering Group to review finalised ICSs, templates and outputs. • Initial appeals to be heard, in accordance with University's REF code of practice
31 July 2020 **31st December 2020**	**End of assessment period for the research environment and related data** **End of assessment period for research impacts**
October/November 2020	• Deadline for REF Team to complete final data for equivalent of REF4a (PhDs/EdDs awarded) • Deadline for REF Team to complete final data for equivalent of REF4b (research income) • Outputs with a publication date of Dec 2020 MUST be accompanied by written confirmation from the publisher of the publication date. Departments and UoAs and UoA coordinators are responsible for securing these • Final appeals to take place, in accordance with University's REF code of practice

December 2020	Impact and environment templates to be signed off and uploaded onto REF submission system. ICSs finalised and uploaded. Outputs finalised.
January 2021 (Friday 29th January 2021)	**Closing date for submissions; official date is 12 noon on Wednesday 31st March 2021, but we should endeavour to submit around 10 days or so before the actual submission deadline to avoid last minute panic and issues with system validations. For this to happen, an internal deadline of Friday 29th January 2021 has been agreed so that the submission carefully read and signed-off by the Rectorate Team and the VC.** **RT to sign-off the submission before final lock down of the system.**
31 December 2020	**End of publication period for publication of research outputs and outputs underpinning impact case studies; This is also the end of assessment period for Impact Evidence after the Covid-19 adjustments made to REF by the Funding Bodies.**
May 2021 – February 2022	**Assessment year; audit queries will need to be dealt with.**
April 2022	**Publication of outcomes**
Summer 2022	**Publication of submissions and reports**

Please Note:

1. The timeline and exact requirements, including references to sections of the REF submission, are all subject to any changes to the REF requirements which may be introduced from now until the working methods and criteria are agreed.
2. Number of reports will be presented at the Rectorate Team meetings and all decisions will be discussed and signed off by the Rectorate Team.

The above table has been updated with key internal deadlines after the Covid-19 related adjustments made by the Funding Bodies/REF to the Assessment Exercise. Apart from the changes to the internal deadlines nothing else has changed in this CoP – all process and procedures remain same as in the originally approved CoP document by EDAP in August 2019.

Letter from Chair of REFSG to all staff inviting comments/feedback during consultation

LIVERPOOL HOPE UNIVERSITY
175 YEARS OF ACADEMIC EXCELLENCE

Office of the Dean of Faculty of Science
Professor Atulya K. Nagar

24th April 2019

Dear colleagues,

Sub: REF 2021 Code of Practice: Consultation Exercise

For the REF 2021 submission, all institutions intending to take part must develop and implement a code of practice on the fair and transparent identification of staff and outputs and submit the same to the funding bodies' equality and diversity advisory panel for approval. The funding bodies have provided institutions with detailed guidance to help ensure that codes and the associated practices they embody are lawful and in accordance with the University's duties under the Equality Act 2010. Our code of practice has been developed by a small working group of senior colleagues led by me as Chair of the University's Research Committee, with input from Personnel team. Before submitting our code of practice we're seeking comments and feedback from colleagues on the current draft which is now available to Liverpool Hope staff community for consultation. We took as a basis our Research and Scholarship Development Plan 2020 (written in 2006; revised and approved by the Senate in 2009 and 2014) which has been used successfully in the University's preparations and submission for REF 2014 and for preparation for the forthcoming REF, taking account of the learning from the previous exercise as well as from our regular Stocktake/Review Exercise, and adapting our policies and procedures to the requirements of REF 2021.

The consultation period is between **Monday 29th April and Friday 17th May 2019 (12 noon)**. If you do have comments or questions to convey to the working group concerning the approaches detailed within this document (a summary of consultation questions is also included with this letter), please email me on atulya.nagar@hope.ac.uk or Theresa Lewin on lewint@hope.ac.uk.

The University will submit its code of practice to the funding bodies for approval by **midday on Friday 7th June 2019**. Thank you in advance for your consideration of this document.

Best wishes and regards.

Yours Sincerely,

Prof Atulya K. Nagar, [Ph.D. (York), M.Phil. (with distinction), M.Sc., B.Sc. (Hons.), FHEA]
Professor of Mathematical Sciences,
Chair of University's Research Committee
URL: http://www.hope.ac.uk/staff/nagara.html
PA to the Dean: Mrs Paula Jenkins | **Tel:** +44 (0) 0151 291 3320 | **Email:** jenkinp@hope.ac.uk

Consultation questions inviting feedback/comments and discussions

REF2021 CODE OF PRACTICE: LIVERPOOL HOPE UNIVERSITY – CONSULTATION

Feedback and comments are invited on LHU's draft Code of Practice (CoP) document as part of this consultation exercise which will open on Monday 29th April 2019 and close on Friday 17th May 2019. Please submit your contributions before the cut-off date of 12 noon on 17th May 2019. After this deadline the CoP will be finalised for submission to the Research England/REF (their final submission deadline of 12 noon on 7th June 2019.) The CoP has 5 Parts under heading as required by Research England/REF.

1. Do you have suggestions for enhancing Part 1 of the Code of Practice (CoP) document? This part sets the scene and provides contextual background regarding this CoP and the University's approach to the CoP.

2. Do you have any views on our definition for determining Significant Responsibility for Research (SRR) and Independency as Researcher (IR) in Part 2? Please provide details. Do you agree with the Appeals process or how can it be enhanced? Your feedback on the timeline and related details will also be useful.

3. Part 3 deals with IR which is also covered in Part 2. Further comments are invited on this part.

4. Part 4 describes the University's approach to making decision on selecting Research Outputs from a pool of eligible outputs to ensure that the University's REF 2021 scores are maximised. This is largely an academic judgement and decision and will involve input from senior researchers. REF 2021 decouples outputs from individuals. Do you have any comments on our approach to this part of the CoP?

5. Part 5 is Appendices. Are there areas of improvement here so that these supplementary materials will enhance the completeness of this CoP?

APPENDIX H: REF 2021 Key Dates

LIVERPOOL HOPE UNIVERSITY: REF2021 – KEY DATES AND OUTLINE TIMETABLE FOR SUBMISSION DEVELOPMENT

Key dates

Submission data	Date range for the submitted data
Outputs	1st January 2014 – 31st December 2020
Impact	1st August 2013 – 31st December 2020
Outputs underpinning impact	1st January 2000 – 31st December 2020
Research income	1st August 2013 – 31st July 2020
PGR degrees awarded	1st August 2013 – 31st July 2020
Staff - census date	31st July 2020

Submissions to the funding bodies	Deadline
Institutions submit code of practice Institutions submit revised Code of Practice document after Covd-19 adjustments	Noon 7th June 2019 Noon Friday 9th October 2020
21 August 2020	Final deadline for REF6b requests further information
Deadline for submissions REF2021	Noon on Wednesday 31st March 2021

Liverpool Hope University's Submission Development Schedule (please also refer to the detailed schedule/plan for preparation in Appendix G.)

Activity	Comment	Deadline (s)
UOAs submit early drafts of Impact Case Studies	Two deadlines available. In due course work will continue with UOAs to schedule submissions to these deadlines. A number of 'focused workshops' are being scheduled	Friday 12th July 2019, OR Thursday 31st October 2019
UOAs submit early drafts of UOA-level Environment templates		
Consult on draft code of practice	The CoP will be revised as and when feedback from the consultation process is received	Wednesday 1st May 2019 – Friday 31st May 2019
Invite voluntary declaration of staff circumstances. Apply processes to identify Category A submitted staff	There will be four deadlines and possibly a fifth one in March 2020 TBA. See paragraph 118 in Part 4.	May 2019 – May-July 2020 (see Table C4) IMPORTANT - for HR Managers to note.
UOAs submit first full draft Impact and Environment	Only one deadline available	Monday 2nd December 2019
UOAs submit second full draft		Friday 31st January 2020
UOAs submit third full draft	Two deadlines available	30th September 2020.

Finalising the submission		Ongoing Autumn 2020 and by Friday 29th January 2021.

A letter of confirmation of acceptance of the Code of Practice by the JCNC (Tuesday 21st May 2019)

University and College Union

Dear Professor Atulya Nagar

This is to confirm that full and comprehensive consultation has taken place between UCU officers, members and Liverpool Hope University on the REF2021 Code of Practice.

A 100 minute meeting took place on 25th April 2019 between the Chair of the UCU branch, the Director of Personnel, a HR manager and yourself. Consultation subsequently ran on until May 17th. In the meantime this UCU branch opened a debating forum around the pros and cons of the Code of Practice to UCU committee members and the general membership.

We are pleased to inform you that the decision was unanimous in approving the sign off for the Code of Practice at the Joint Consultative and Negotiating Committee (JCNC) after the consultation period, on 21 May 2019. In that meeting it was agreed that UCU would write to you to confirm this.

On behalf of members thank you very much indeed for your support and openness during this very productive period, and a special thanks for listening so carefully to our concerns about members' well-being. We are also delighted that you have not followed what appears to be a most regrettable trend in the UK HE sector currently, which is to use the Code of Practice as a performance management tool.

Congratulations on an outstanding document!

Solidarity and thanks

Gary Anderson

Steven Shakespeare

Gary Anderson (UCU Branch Chair)

Steven Shakespeare (UCU Branch Secretary)

A letter to all academic staff after the minor changes/updates to the CoP addressing Covid-19 related adjustments (July 2020 and updated in September 2020)

REF 2021 –UPDATE AFTER COVID-19 PAUSE – LETTER TO ACADEMIC STAFF

Following a further update from the UKRI and funding bodies, it has been confirmed that:

1. **The revised REF submission deadline will be noon, Wednesday 31 March 2021, for all elements of submissions.**
2. The **assessment period for impact** has been universally extended to **31 December 2020** (replacing the previous end date of 31 July 2020). The extension has been put in place to enable case studies affected by, or focusing on the current response to, COVID-19 to be assessed in REF 2021. Please note this does NOT need to be applied to all Impact Case Studies, particularly where they are already finalised. The purpose of this extension is to enable Impact Case Studies that have been delayed by COVID-19 to be prepared and assessed in REF2021.
3. The staff census date of **31 July 2020** is unchanged. The assessment period for outputs remains 1 January 2014 to 31 December 2020 and for environment, remains 1 August 2013 to 31 July 2020.

There will be a review date in November 2020 to consider whether further contingency arrangements are needed, though the submission deadline would only be revisited in a significantly worsened context (i.e. if there is another "significant and sustained" Covid-19 outbreak).

As the clock on REF restarts on 31st July 2020, the University's timetable for REF preparation has been updated, building on the previous decisions/published dates (please refer to the Code of Practice document) that i) the final REF Check Exercise will take place approximately 6 months before the external deadline and ii) the internal deadline for final submissions will be approximately 2 months prior to the external submission deadline (31 March 2021).

Implications of COVID-19 on REF Planning for LHU

We recognise the challenges that the current circumstances place on the University's preparations for REF and discussions have continued during this period on the implications of the current situation.

REF Data Check Exercise: This exercise will take place approximately 6 months prior to the revised REF submission deadline (as per our Code of Practice document).

REF timeline: Due to REF being paused, and now in light of the revised REF submission date in March 2021, the final internal deadline for submissions (formerly 30 September 2020) has been revised/updated and now the new internal deadline for submissions will be **Friday 29th January 2021**, which is approximately 2 months prior to the final (UKRI) submission data.

All data entry work needs to be checked for accuracy by **Monday 30th November 2020**. The REF Code of Practice (CoP) document is being updated (minor changes) in light of these change of internal timetable and there are no other substantial changes to the University's processes and procedures as these remain unchanged as in the original CoP document that was approved by the REF/EDAP.

REF2021 rules are complex but we have made tremendous progress, as individuals and across teams/UoAs. There is strong evidence that the way we have been working towards REF incremental gains is optimising our submission and enriching our wider research performance. Eight months from the deadline of 31st March 2020 for submission, there is much to play for, and your dedication and resilience is invaluable in better positioning our University and extending our reputation as a research community.

My sincere thanks go out to all academic and supporting colleagues so committed to working towards REF2021.

Important dates (internal) we need to work towards:

1. **Wednesday 30th September 2020** – final deadline for all Impact Case Studies and all Environment statements.
2. **31st October and then by Monday 30th November 2020** – final deadline for all UoA related data to be completed and double checked.
3. **Friday 29th January 2021** – the submission system will be locked so that the USET and the VC can sign-off our submission.

Please refer to the table below regarding key dates and information published by the UKRI/Funding Bodies:

31 July 2020	Exercise recommences; Census date for staff; end of assessment period (the research environment and data about research income and research doctoral degrees awarded)
14 August 2020	Final deadline for REF6a requests further information
21 August 2020	Final deadline for REF6b requests further information
W/c 14 September 2020	Outcomes of REF6 requests released
Autumn 2020	Appointment of additional members and assessors to panels

2 November 2020	Deadline for HEIs to seek agreement to submit impact case studies from research that was undertaken by an absorbed unit before that unit became part of the submitting HEI; deadline for submission of requests for an output reduction in a unit affected by major unforeseen events
By 6 November 2020	Funding bodies' review of contingency arrangements
31 December 2020	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies); end of impact assessment period
31 March 2021 (Midday)	Closing date for submissions
1 June 2021	Deadline for providing redacted versions of impact case studies and corroborating evidence held for impact case studies
30 July 2021	Deadline for submission of staff circumstances report, equalities impact assessment, and final Codes of practice
May 2021 – February 2022	Panels assess submissions
April 2022	Publication of outcomes
Summer 2022	Publication of submissions, panel overview reports and sub-profiles

Table: Key dates published by UKRI/Funding Bodies after Covid-19 Pause

Professor Atulya K. Nagar, PVC (Research),

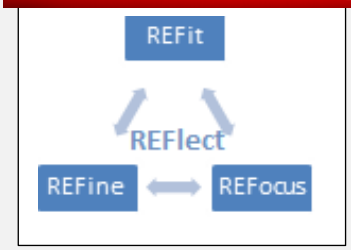
20th July 2020 and updated 7th September 2020.

B A C K C O V E R P A G E

REMINDER to colleagues at Liverpool Hope University to use software systems designed and developed in-house for managing and supporting REF 2021 preparations:

HIRA: Hope's Institutional Research Archive (Open Access.)

REFlect: Hope Impact and Hope Environment: online software systems to help with planning, organisation and management of Impact Case studies and Environment narratives. Please REFlect access under MyResearch by logging into MyHope using your network login details.



REFit: is a tool designed to model and optimise the REF submissions; a master copy of this decision-making software system is maintained by the Chair of REFSG and is frequently shared with UoA Coordinators and HoDs/Deans.

Please note: This document (CoP) can be made available in alternative formats upon request from lewint@hope.ac.uk in the Personnel Office.

Please direct any queries related to this CoP to Mrs Theresa Lewin (lewint@hope.ac.uk); or Professor Atulya K. Nagar (PVC Research and Chair of REFSG; atulya.nagar@hope.ac.uk).

This document has a number of coloured images and diagrams. Please only print if necessary; consider grayscale.

Contact:
Professor Atulya K. Nagar, PVC Research
Liverpool Hope University
Hope Park
Liverpool, L16 9JD
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REF 2021 Research Excellence Framework

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