

LJMU Code of Practice for the Second Research Excellence Framework (REF; REF2021)

All institutions that intended to make a submission to REF2021 each developed and implemented a code of practice on the fair and transparent identification of staff and outputs. The funding bodies provided institutions with [guidance](#) to help ensure that codes and the associated practices they embody were lawful and in accordance with LJMU's duties under the Equality Act 2010.

This code of practice was developed by a working group Chaired by the University's Pro-Vice-Chancellor for Research & Knowledge Exchange, with representation from each faculty and Human Resources. It incorporated feedback from the LJMU staff community received during a month-long consultation period (9th April through to 6th May 2019) and was approved by Research England following review by the REF Equality and Diversity Advisory Panel (EDAP).

The University's submission to REF2021 included research of the very highest quality, reflecting LJMU's strategy to support and develop targeted areas of world-leading research. However, it is important to recognise that research is just one element of the University's strategic framework, and not all staff are expected to engage in research at the level commensurate with institutional expectations regarding research excellence. This code communicates both the University's expectations of staff who are actively engaged in research, and how contributions to REF2021 were managed.

This code of practice remained a working document up to the REF submission date of 31 March 2021 to reflect changes to any implementation plans and activities, as approved by the CPWG. This version is the final document sent to Research England after the submission deadline.

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Part 1: Introduction

Introduction and the institutional context

1. This code of practice purposefully frames the University's decision-making processes in relation to REF2021 in the context of the principles of equality and diversity and all relevant legislation. It sets-out the University's approach to:

- a) the fair and transparent identification of staff with significant responsibility for research
- b) determining who is an independent researcher, and
- c) the selection of research outputs (including support for staff with circumstances that have constrained their ability to work productively over the REF¹ assessment period)

2. The REF2021 [eligibility criteria](#)² as defined by Research England (and set-out in paragraph 49) are paramount to this code of practice. But also central to it are specific institutional and culture-enhancing initiatives, including the University's Research and Scholarship Strategy and Human Resources (HR) Strategy. The code draws upon existing policies and practices that support and promote equality and diversity at LJMU including our Equality & Diversity Policy, activities in relation to Athena SWAN, and the Race Charter. It also references actions that facilitate the development and progression of academic staff, for example our commitment to the Researcher Development Concordat , and the role of our various staff networks in communicating and embedding this code of practice. These are highlighted in sections below where relevant.

3. The University's Strategic Framework 2017-22 is illustrative of the broad portfolio of activities academic staff engage in, many of which are generally distinct from research (enhancing the student experience, civic and external engagement, teaching). Therefore, not all staff are expected to, or can engage in research at the level commensurate with institutional expectations regarding research excellence. This most certainly does not diminish the value placed by the University on activities such as leading professional development programmes, growing industrial relationships, developing and enhancing curricular for example. However, in relation to REF2021, the University will only return staff who meet the inclusion criterion set-out in paragraphs 16 to 21.

4. In the context of the previous REF (REF2014), the University reported its equality impact assessment and has since reacted to the positive actions set-out in that report in the following ways:

- By providing dedicated support for female members of staff with ambitions to achieve internal promotion to Reader or Professor (the Women Professors Network, Women Readers Network and Women Early Career Researcher (ECR) Network have been especially proactive here)

¹ A list of abbreviations used in this document is provided in Appendix A

² See Part 3, Section 1 of the Guidance on Submissions issued by Research England

- By encouraging female academics to participate in the Aurora Programme
- Initiating a research-focused mentorship scheme in 2018 for staff on the cusp of being research-active (regardless of stage of career)
- By encouraging staff declaration of protected characteristics
- Since 2014, by taking individual staff circumstances into consideration as part of the promotion criteria for Reader and Professorial conferment

5. The content of this document and the practical implementation of the code of practice going forward, demonstrate that the University's preparations for REF2021 are transparent, consistent, accountable and inclusive. Further details are provided below.

Transparency

6. This code of practice has a multi-phased programme of communications surrounding it. During Phase 1 (consultation):

- All academic staff received email correspondence from the PVC for Research & Knowledge Exchange on 11 April 2019 outlining the processes for a), b) and c) above and inviting comments on the draft code of practice to be sent to REF2021@ljmu.ac.uk by 6th May 2019
- Three briefing events were hosted by the PVC for Research & Knowledge Exchange across the University's campuses on the 10th and 11th April 2019 which detailed the content of the draft code and explained the related processes
- The draft code of practice has been available as a downloadable PDF on the staff intranet (dedicated REF2021 pages) since the 9th April, and related content featured in a newsletter (Research & Innovation Services) issued on 18th April 2019
- The draft code of practice was communicated to the following committees and groups with the request that it be discussed as a formal agenda item during any meetings between 9th April and 6th May 2019. Comments could be sent to REF2021@ljmu.ac.uk:
 - Faculty Research & Knowledge Exchange committees (5)*
 - LJMU Athena SWAN Working Group
 - LJMU Black, Asian & Minority Ethnic Staff Network
 - LJMU Branch of the University and College Union*
 - LJMU Concordat Task Group and Concordat Forum
 - LJMU Equality, Diversity & Inclusivity Committee
 - LJMU Lesbian, Gay, Bisexual and Transgender Staff Network*
 - LJMU Race Equality Charter Working Group
 - LJMU Staff Disability Network*
 - LJMU Women Professors Network
 - LJMU Women Readers Network
 - LJMU Women ECR Network

7. A letter was sent by HR personnel to the home address of academic staff who were absent from the University³ during the consultation period. The letter directed staff to the REF2021 pages of the University's staff intranet where the draft code of practice was available to view and download.

8. Feedback on the draft code was received by sixteen individuals or collectives, including *committees/groups (paragraph 6). Responses were formally considered by the University's Code of Practice Working Group on 10th May 2019 with recommendations that the draft code be amended in the following ways:

- To make more explicit, which stipulations stem from Research England, as opposed to those that are determined by the University
- To provide greater clarity and specific detail regarding the appeals process
- To enhance communications about the implementation of the code of practice including sustained engagement with the committees and groups listed under paragraph 6 above
- To place greater emphasis on the centrality of the University's research institutes and centres in the process of identifying staff with significant responsibility for research
- To provide further information that signifies rigor in the process of identifying staff with significant responsibility for research

Additionally, a number of paragraphs have been edited to reflect very specific and helpful comments or suggestions from within the consultation responses.

9. The University submitted its code of practice to Research England for approval by midday on the 7th June 2019. The staff [intranet](#) makes the most current version (PDF) of the code available (thereby taking into account any changes required by Research England following review). Large print versions of the document can be provided (contact REF2021@ljmu.ac.uk). Staff news stories will communicate to staff when the code is updated and the nature of changes made. The University has made its approved code publically available as required by Research England.

10. Phase 2 of the communications plan (from the 17th June 2019) has focused more specifically on raising awareness of the process to enable staff to voluntarily declare individual circumstances. This is being led by the University's Equality, Diversity & Inclusion Manager, and is detailed in Part 4 of this document. Additional advocacy will target research-only colleagues to encourage engagement with the process to establish if staff meet the criteria as independent researchers (Part 3 of this code).

11. A third phase of communications will brief academic staff in January 2020 of the University's submission intentions for REF2021. This provides an opportunity to also refresh awareness of the declaration processes in place for staff circumstances (as detailed in Part 4 of this document).

³ Long-term absence (more than 28 calendar days with no return indicated)

Consistency

12. The processes relating to a), b) and c) above are applied in a consistent manner across the University: for a) the Terms of Reference (ToR) for faculty decision-making appear in Appendix B of this code of practice; the process for determining research independence b) is managed centrally, by the Head of Research Excellence & Research Strategy using a standard set of questions (Part 3 of this document) to elicit evidence against indicators of independence (according to the Main Panels in the [Panel Criteria and Working Methods](#); outputs selection c) is overseen by the University Research & Knowledge Exchange Committee, and informed by a transparent process of output quality assessment conducted at unit of assessment level (UOA) (Part 4).

Accountability

13. The individuals and groups/committees with responsibilities for advising or making decisions regarding the processes a), b) and c) are listed in Appendix C, these include:

- The University Research and Knowledge Exchange Committee (ToR are shown in Appendix D)
- Faculty Academic Staff Research Status Panels (Appendix B)
- LJMU's Code of Practice Working Group (see Appendix E for the ToR)

All individuals (roles) and members of the groups/committees listed received REF2021 equality training (May, June or July 2019). The mandatory training was delivered by the University's Equality, Diversity & Inclusion Manager together with the Head of Research Excellence and Research Strategy) with content including:

- an explanation of why equality and diversity are important in the context of REF, and to give the legal background
- a description of circumstances where equality issues can be taken into account when considering individual staff research outputs
- signposting staff to more detailed information about equality and diversity in the REF process
- unconscious/conscious bias as related to REF2021

An indicative schedule for the training is provided in Appendix F. The training materials are available on the staff [intranet](#) for wider consumption.

Inclusivity

14. The University returned just 26% of eligible staff to REF2014⁴ and anticipates a submission of more than double this proportion in REF2021. As set-out below, the reworked institutional approach is reflective, inclusive and aims to normalise the relationship staff have with the REF. The University is committed to ensuring that the excellent research of eligible staff across all protected characteristics, and regardless of part-time or fixed-term working arrangements, is included.

Part 2: LJMU's approach to identifying staff with significant responsibility for conducting research on an independent basis

Strategic approach

15. The designation of a University Research Institute or Research Centre is an institutional acknowledgement of the quality in research programmes and activities within a discipline. The criteria associated with establishing an institute or centre are primarily related to: (a) the overall quality of research and related activities, and (b) the delivery of a sustainable and vibrant research environment in which research is conducted (Appendix G). The University's Research and Scholarship Strategy 2017-22 includes a related key performance indicator to grow the number of institute entities over the period.

16. The University's approach to identifying staff with significant responsibility for research is centered upon staff membership of University-conferred research institutes and centres (and in some instances 'groups' in areas with less evolved research cultures). Core (or 'full') membership is confirmed when academic staff:

"Demonstrate proven research capability to (on a consistent and independent basis) conduct and disseminate rigorous research that clearly advances knowledge in their field/sub-field".

Staff may be core members of more than one institute or centre as appropriate to the disciplinary coverage of the entity (see Appendix H).

17. The above institutional expectation (paragraph 16) also emphasises that the University is placing particular significance on 'independence' as a feature of core membership. This is to recognise that a volume of eligible academic staff within the University are conducting doctoral research and/or participating in the University's research mentoring scheme⁵ and as such are generally not independent researchers. These staff are 'associate' members

⁴ REF2014 permitted universities to 'select' staff for inclusion, with a general output requirement of four outputs per person; REF2021 requires universities to return all staff with 'significant responsibility for research', with a minimum of one and up to five outputs per person.

⁵ Key performance indicators within the University's Research and Scholarship Strategy 2017-22 relate to increasing staff engagement with research and scholarship and the proportion of doctoral-qualified academics. The interests and actions of the University's Researcher Development Concordat Steering Group are also indicative that LJMU is striving to support the career development of all academic staff (not just contract researchers).

of a centre/institute, and are not deemed to have significant responsibility for research. Likewise, academic staff who are new to the University and have been identified as requiring support to develop or embed their research within LJMU, may have associate member status. Such staff typically join the University directly from practitioner/professional roles (e.g. solicitors, health professionals, teachers) or from the digital and creative sectors.

18. Core membership of a research institute/centre/group denotes a member of staff as having significant responsibility for research. However, this code of practice hereon refers to core members having significant responsibility for conducting independent research (SRIR). Please refer to Part 3, paragraph 50 for the definition of research independence; indicators are inherent within paragraph 52.

19. The University issues a standard academic contract to its body of academic staff (teaching and research). However, as indicated on page 1 and paragraph 3, employment expectations, as communicated and agreed at an individual level, do vary across the University. Staff engagement in other activities, including developing partnerships that lead to CPD development for example, are just as valuable to the University as REF-focused research. Paragraph 17 also highlights that independence is key to SRIR evidenced by a number of indicators, not just outputs. Therefore, employment expectations (as separate from contractual status), drive decisions on SRIR. The university affirms that the REF is a collective measure of research excellence and does not consider that inclusion or not of an individual within the REF submission pool, as defined by this code of practice, is a criterion for management of performance. Any management of an individual's performance is unchanged by the code of practice.

Process

20. The process for identifying core members of research institutes/centres/groups (staff with SRIR) was formally implemented between March and July 2019. It builds on pilot activity in 2017/18 that considered which indicators could best/reliably be used to underpin decisions around SRIR and member status.

21. The institutional expectation is that in meeting the definition in paragraph 16, academic staff routinely produce two or more research outputs deemed to be of quality that is at least recognised internationally over a four-year rolling period⁶ (pro-rata for <1.0 FTE staff). The volume measure encompasses disciplinary differences in the length of time it may take for staff to undertake research and develop different types of output. Indicators of research independence are also collated. Collectively, these indicators are met by the majority of academic staff within the University.

⁶ The four-year rolling period reflects the institutional strategy for research quality expectations and improvement in general (over time), as opposed to aligning with a REF cycle which would have a defined cut-off point.

Implementation

22. The process is conducted annually and is overseen by LJMU's Pro-Vice-Chancellor for Research & Knowledge Exchange and the University's Head of Research Excellence and Research Strategy to establish consistent application of the approach across the University. The pilot iteration of the process identified both good practices and areas where local implementation of the process could be improved upon (consistency). This was established during a process review (conducted in December 2018) which has informed the current implementation plan detailed below.

23. The Associate Dean for Research (AD-R) initiates a data compilation exercise to collate information about:

- i. Individual staff employed within the previous 12 months (name; start date at LJMU; FTE)
- ii. Research outputs produced over the last rolling four year period
- iii. Research alignment to University-conferred research institute/centre/group
- iv. Grant application activity over the last four year period
- v. External income generation over the last four year period
- vi. Other relevant contextual information (e.g. if the member of staff is: undertaking doctoral research, or is a member of the research mentoring cohort, or is new to higher education, or has joined LJMU with relevant grant/income activity to report that is not yet captured by University systems)

24. Staff are given a deadline to ensure research output entries in the University's research information system (Symplectic Elements) are current and accurate. Grant application and outcomes data are collated from the central finance department and Research & Innovation Services, or using local records where they exist. Indicators iv) to vi) signal an individual's status regarding research independence. For transparency, individual staff receive a copy of their data and are asked to verify its completeness. Staff can request adjustments at this stage if the data are not accurate. These data are then shared with the relevant School Director.

25. Directors can draw upon information on the quality of research outputs that is available locally from the REF UOA coordinator/s. As detailed in Part 4, (paragraphs 73 to 74), all UOA coordinators have conducted exercises to examine the quality of research outputs produced in the current REF cycle, with the services of external subject/disciplinary experts engaged to verify internal quality judgements. These quality assessment processes have been incredibly valuable to the University, leading to increased capability to make quality judgements at a local/UOA level, and providing confidence that internal quality judgements are consistent with those of external experts.

26. A sub-group of the Faculty Research & Knowledge Exchange Committee (FRKEC), then meets to evaluate individual staff research inputs and outputs (the Academic Staff Research Status Panel), where each School Director makes a recommendation for each of their staff to confirm research institute/centre/group alignment and related membership status. Members of the panel can challenge recommendations and/or request sight of

research outputs to validate the proposed status. Decisions made by the panel on the agreed membership status are communicated to individual staff by email within four weeks of the panel meeting taking place.

27. To summarise, this process identifies academic staff as:

- **A core member of a research institute/centre/group (having SRIR)**
Meeting the institutional expectation (paragraphs 16 and 21) that academic staff produce two or more research outputs of quality that is recognised internationally over a four-year rolling period (pro-rata for <1.0 FTE staff); independence is signaled by contextual information including grant and income data, Director feedback); or
- **An associate member of a research institute/centre/group (not having SRIR)**
- **Not research-active (not having SRIR)**

28. Where staff have experienced circumstances such as a long-term absence from the University and this has meant that they have not been able to actively participate in the annual process described above, staff will be encouraged to submit a formal appeal (by 31 January 2021) in order to determine their status for REF2021 (paragraphs 36 to 44)⁷. Staff to whom this applies, are encouraged to contact AppealsREF2021@lmu.ac.uk to arrange for an informal discussion about how the process will be undertaken; the intention here is that staff are fully supported through the process.

29. With local support mechanisms that focus on researcher development, coupled with growth in the breadth and depth of the research culture within the University, the expectation is that a proportion of staff with associate membership and who do not currently have SRIR will, over time transition into core members of a research centre/institute/group. A very small minority of staff, for a variety of reasons, have however reduced or ceased to engage at this level since the pilot work started in 2017/18. Such staff are being supported locally to re-ignite their development. For these staff, the REF2021 census date of 31 July 2020 will be the definitive time point at which the decision will be made as to whether they have SRIR and are included in the University's submission to REF2021. Decisions will be based on prior outcomes of the annual process described in paragraphs 19 to 23, taking into account any additional relevant data at that time, including employment expectations as described in paragraph 19.

Development of the process

30. Pilot activity has informed the development of the process to identify core members of research institutes/centres/groups (staff with SRIR). This was undertaken in 2017/18 and considered which indicators could best/reliably be used to underpin decisions around SRIR and membership status.

⁷ Routing via the appeals process limits the number of individuals with whom information about staff circumstances will be shared and discussed.

31. A process review conducted in December 2018 noted some mixed and inconsistent practices relating to communication and staff awareness of the inputs and outcomes of the process. Resolution of these issues where they exist, was managed in the 2018/19 implementation that was undertaken between March and July 2019.

32. Formal consultation with staff committees, networks and groups on the process to define SRIR commenced in April 2019 after the publication of the final Guidance on Submissions, Panel Criteria and Working Methods, and Guidance on Codes of Practice, on 31st January 2019 (as detailed in paragraphs 6 and 8). A Common Interest Committee was held on Wednesday 29th May to facilitate formal consultation on the code of practice with the LJMU Branch of the University and College Union (UCU). The Code of Practice Working Group subsequently met on the 3rd June 2019 to consider the UCU proposals, and Part 2 of this code has been amended to incorporate UCU suggestions.

33. The processes detailed within this code of practice have been agreed with staff through appropriate staff representation mechanisms and will be communicated as described in Part 1.

Staff, committees and training

34. The process for identifying core members of research institutes/centres/groups (staff with SRIR) is the responsibility of each faculty, and decision-making is undertaken specifically by a sub-group/panel of the FRSKTC⁸. Each panel is Chaired by the relevant AD-R, and comprises the Faculty's Executive Dean and the Director of all constituent schools. Meetings are serviced with a record of all decisions formally noted. Although REF UOA coordinators are members of FRKEC's and may advise School Directors in order to inform recommendations, they do not attend the decision-making panel meeting. The University's Pro-Vice-Chancellor for Research & Knowledge Exchange and Head of Research Excellence & Research Strategy attend all panel meetings to provide a pan-University perspective, and ensure parity in decision-making.

35. The panels that operate in each of LJMU's five faculties share common Terms of Reference (Appendix B). Panel membership has been considered from an equality, diversity and inclusivity perspective; two faculties have been advised to co-opt senior female academic staff representatives on to their panels (from 2018/19).

36. All panel members received REF2021 equality training (July, September and November 2019). Likewise, staff managing the appeals process have received training (see Appendix F). The mandatory training is delivered by the University's Equality, Diversity & Inclusion Manager together with the Head of Research Excellence & Research Strategy, and content includes:

⁸ FRKEC entities are part of the University's formal committee structure, and report directly to the University Research & Knowledge Exchange Committee which is chaired by the Pro-Vice-Chancellor for Research & Knowledge Exchange.

- an explanation of why equality and diversity are important in the context of REF, and to give the legal background
- a description of circumstances where equality issues can be taken into account when considering individual staff research outputs
- signposting staff to more detailed information about equality and diversity in the REF process
- unconscious/conscious bias as related to REF2021.

The training materials are available in the staff [intranet](#) for wider consumption.

Appeals

37. The appeals process was first communicated to staff during April 2019 as part of phase 1 of the REF2021 communications plan (paragraph 6).

38. Eligible academic staff not identified by their faculty's Academic Staff Research Status Panel as being core members of research institutes/centres/groups (not having SRIR) may appeal against the decision after they have received feedback covering the reason/s for this. Note, that appeals cannot be accepted from staff who failed to verify the accuracy of the information used as the basis for discussion by the Faculty's Academic Staff Research Status Panel. This is because disputes regarding missing or unverified data are managed by the faculty AD-R and relevant School Director.

39. Staff have the right to appeal against a decision on the grounds of discrimination e.g. on the grounds of race, sex, disability and other protected characteristics, or if absence is felt not to have been fully taken into account, and/or that individual circumstances have not been fully considered. Appeals on the grounds of academic judgement i.e. underpinning the criterion for institute/centre core membership (the assessment of the quality of the research outputs), are not eligible although appeals where due process as described in this code of practice has not been followed may be valid.

40. Appeals must be made in writing (by email), and submitted within 4 weeks of the member of staff receiving their institute/centre membership status (paragraph 26). The exception to this timescale, is where a member of staff has been absent from the University due to individual circumstances such as long-term sickness, and who returns to the University after the 4 week period. Such staff may submit their appeal up to two months after they have returned to work and up to the 31st January 2021⁹. The outcome of any appeal will be notified to staff within 4 weeks.

41. The appeals process is undertaken by the University's Pro-Vice-Chancellor for Strategic Initiatives and the HR Business Partner, Policy Development (the Appeals

⁹ The deadline of 31st January 2021 has been set in order for all appeals to have been considered by the University, and decisions communicated, before the REF2021 submission deadline of 31st March 2021.

Panel). Both are fully independent of the decisions about research institute/centre membership/identifying staff with SRIR, and will have received REF2021 equality training.

42. The process will involve a meeting between the applicant and members of the Appeals Panel. Staff may, if they wish, be accompanied to any appeal-related meeting by a trade union representative. Additionally, staff may wish to contact LJMU's Occupational Health service for a health professional to provide an independent perspective to the process.

43. The Chair of the Appeals Panel will consider relevant documentation, which could include, but not be limited to:

- Records/minutes from the meetings of faculty Academic Staff Research Status Panels
- The data presented at faculty Academic Staff Research Status Panel meetings
- Occupational Health records where the applicant has given their permission
- Verifiable evidence of research activity, such as records from Symplectic Elements or online research information platforms

44. Appeals should be sent to AppealsREF2021@ljmu.ac.uk.

45. The outcome of the appeals process shall be final.

Equality impact assessment

46. An interim assessment was undertaken following the introduction of the process to identify staff with SRIR (2017/18). This was requested by and reported to the University's Athena SWAN Working Group. It considered the outcome (i.e. the status of individual staff) and gender, in order to establish any differences between staff eligible for submission to REF2021 and those submittable on the basis of having significant responsibility for conducting independent research. The headline findings are:

- Research-active status was assigned to 57% of staff overall; 61% of eligible male staff and 41% of eligible females
- Role Development status was inconsistently applied across (and within) the University's five faculties

In the University's REF2014 submission (26% of eligible academic staff), 33% of eligible male staff were submitted and 20% of eligible females were returned.

47. Measures to ensure the legitimate and consistent identification of staff who should be supported through Role Development were introduced in the 2018/19 Academic Staff Research Status panel meetings.

48. A comprehensive EIA is being undertaken using the 2018/19 Academic Staff Research Status outcome data (identifying core members of research centres/institutes/groups i.e. staff with SRIR), and which will be repeated in 2019/20; these will include all protected characteristics. The data analyses will consider the characteristics of staff with SRIR in comparison to characteristics of all academic staff. The EIAs will be reported to the

URKEC and LJMU's Equality, Diversity & Inclusivity Committee with clear articulation of positive or negative impacts, and recommended actions. They may also inform the content of this code of practice where greater clarity or further guidance ought to be provided on specific aspects of the University's approach to the identification of staff with SRIR. All equality impact assessments referred to in this document will be undertaken collaboratively by the Equality, Diversity & Inclusivity Manager and Head of Research Excellence & Research Strategy.

Part 3: How the University determines research independence

Policies and procedures

49. The information within this section is aimed primarily at the circa 150 LJMU staff on research-only contracts, typically Research Assistants. However, for the benefit of the broader academic staff community, staff included in the REF2021 submission, must meet the following criteria (as defined by Research England):

- Contractually, be employed on at least a 0.2 FTE basis
- Be on the University payroll on 31st July 2020
- Be employed to undertake 'teaching and research', or 'research-only'
- Have a substantive research connection with a submitting unit of assessment¹⁰
- Have significant responsibility for conducting research on an independent basis (NB staff on a 'teaching and research' contract have 'research independence' explored during the SRIR process detailed in Part 2 of this code of practice)

50. The REF2021 Guidance on Submissions defines an independent researcher "as an individual who undertakes self-directed research, rather than carrying-out another individual's research programme". Research Assistants (sometimes also described as postdoctoral research assistants or research associates) are generally employed to carry out another individual's research programme and not eligible to be returned to the REF unless they meet the definition of an independent researcher (and satisfy all the above criteria). A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs. Independent research-only staff must therefore:

"Demonstrate proven research capability to (on a consistent and independent basis) conduct and disseminate rigorous research that clearly advances knowledge in their field/sub-field" (paragraph 16)

51. From the 1st July 2019 (and again in July 2020), the University implemented a formal process to determine the research independence of all staff holding a research-only contract (minimum 0.2 FTE), including staff who may be on a fixed-term contract. A report containing the name, job title, faculty and School of staff with an Academic Employment

¹⁰ Research England provide a range of indicators in paragraph 123 of the [Guidance of Submissions](#), including: participation in the UOA research environment (e.g. delivering seminars), supervision of PGRs within the UOA, involvement in research centres allied to the UOA, shared grant applications, and so on.

Function of 2 (research-only) is provided to the Head of Research Excellence & Research Strategy by a designated Systems Officer to facilitate the process..

52. All staff holding a ≥ 0.2 FTE research-only contract are contacted by email and asked to self-report their research independence using an online survey (a Word document will be available on request should staff not wish to complete the online version). The online (and Word) documentation includes contextual information, including the definition of an independent researcher, and the following (predominantly Yes/No) questions:

- 1) What was your role prior to joining LJMU (and earlier positions if post-PhD)
- 2) In any prior roles, were you working under the supervision of a more senior member of staff? If yes, what was their job title?
- 3) Have you ever lead or acted as a principal investigator or equivalent on an externally funded research project?
- 4) Do you hold or have you held an independently won, competitively awarded fellowship where research independence is a requirement? An illustrative list of independent fellowships can be found on the REF2021 [website](#)
- 5) Do you currently, or have you in the past lead a research group or a substantial or specialised work package as part of a programme of research?
- 6) Have you ever been named as a co-investigator on an externally funded research grant/award?
- 7) Have you made a significant contribution/input into the design, conduct and interpretation of an externally funded research grant award?
- 8) Do you consider yourself to be an independent researcher?

53. Staff are sent a reminder by email one week after the original message. A staff news story accompanies the survey launch and the Concordat Forum advocate for completion amongst its network.

54. Staff not responding to the survey within the 6 week window it is open, will not be seen (by assumption) as meeting the criteria or definition of an independent researcher (and this point will be clear in the survey guidance). Nil returns are therefore be encouraged so that there is definitive evidence of a 'No' response to question 8 above.

55. Where a researcher responds 'Yes', to a question, further explanatory details can be supplied and this triggers the need for a discussion between the researcher, the coordinator of the relevant UOA, and the Head of Research Excellence & Research Strategy. Questions 6 and 7 apply to units in REF Main Panels C and D only, but will be asked of all researchers in the first instance.

56. As part of the face-to-face meeting, the significance of questions 6 and 7 above are explained and taken into consideration where necessary. Researchers are asked to verify their original responses to questions 1) to 8) above, and can supplement responses as necessary. A preliminary decision on the eligibility status of the researcher is most likely be made by the Head of Research Excellence & Research Strategy during the meeting,

unless further evidence or clarification is required. Meetings are formally serviced with administrative support to record decisions.

57. Outcome recommendations are routed via URSKTC meetings to determine the final decision, upon which written confirmation (including details of the appeals process) will be sent to the individual researcher, their line manager and the relevant UOA coordinator within 1 week of the URSKTC meeting.

58. In terms of timescales, decisions on the eligibility of staff holding research-only contracts in the July 2019 cohort were made by the end of September 2019. New starters on relevant contracts, or staff absent from the University during the 2019 process, will be brought into this process in July 2020. Recognising that the independent status of research-only staff may change over time, staff may participate in the review process in both 2019 and 2020.

Staff, committees and training

59. Final decisions regarding research independence will be made by URKEC following recommendations from the Head of Research Excellence & Research Strategy. The post holder was involved in the equivalent process ahead of REF2014, and compiles the RESAST (research assistant) data for the annual HESA Staff return. Local/UOA REF coordinators will contribute to discussions in an advisory capacity.

60. The survey responses and records of decision-making meetings will be retained for audit purposes throughout 2021 and then deleted.

61. UOA coordinators, the Head of Research Excellence & Research Strategy and members of URKEC received mandatory REF2021 equality training between May and July 2019 as detailed in Part 2, paragraph 36 (and Appendix F). The training materials are available in the staff [intranet](#) for wider consumption.

Appeals

62. The appeals process was first communicated to staff during April 2019 as part of phase 1 of the REF2021 communications plan (paragraph 5).

63. Research-only staff not deemed to meet the definition of an independent researcher may appeal against the decision after they have received feedback covering the reason/s for this (staff who did not engage in the review process may not appeal). Appeals will only be considered in cases where due account has not been taken of a staff member's individual circumstances or protected characteristics, and/or where due process as described in this code of practice has not been followed.

64. Appeals will not be considered on the grounds of professional judgement, including the assessment of the quality of the research outputs. Neither will appeals be heard which are

based on new information, that was not presented at the time of the decision-making meeting. Staff wishing to highlight new indicators of research independence that have occurred since July 2019, should engage in the review process in July 2020, and not formally appeal against the original decision.

65. Appeals must be made in writing (by email), and submitted within 4 weeks of the member of staff receiving the decision regarding their eligibility for REF2021. The exception to this timescale, is where a member of staff has been absent from the University due to individual circumstances such as long-term sickness, and who returns to the University after the 4 week period. Such staff may submit their appeal up to two months after they have returned to work and up to the 31st January 2021¹¹. The outcome of any appeal will be notified to staff within 4 weeks.

66. The appeals process is undertaken by the University's Pro-Vice-Chancellor for Strategic Initiatives and the HR Business Partner, Policy Development (the Appeals Panel). Both are fully independent of the decisions about research independence and will have received REF2021 equality training.

67. The process will involve a meeting between the applicant and members of the Appeals Panel. Staff may, if they wish, be accompanied to any appeal-related meeting by a trade union representative.

68. The Chair of the Appeals Panel will consider relevant documentation, which could include, but not be limited to:

- Records/minutes from the meeting/s between the member of staff, the UOA coordinator and Head of Research Excellence & Research Strategy, and
- Verifiable evidence of research activity, such as records from Symplectic Elements or online research information platforms, and including grant submission portals

69. Appeals should be sent to AppealsREF2021@ljmu.ac.uk.

70. The outcome of the appeals process shall be final.

Equality impact assessment

71. Two equality impact assessments will be undertaken in relation to the process for identifying research-only staff who are independent researchers and eligible to be submitted to REF2021. Each will take place after the process outlined in paragraphs 51 to 58 has been completed. Analyses will take account of all protected characteristics, but the likely small numbers involved (circa 150 research-only staff will be contacted), may limit the findings that can be communicated. The data analyses will consider the characteristics of staff who meet the criteria for research independence compared to those who do not.

¹¹ The deadline of 31st January 2021 has been set in order for all appeals to have been considered by the University, and decisions communicated, before the REF2021 submission deadline of 31st March 2021.

The interpretation of the findings will need to take into account the way in which staff respond to the request for information (no response, nil return, affirmative respondents etc.). The EIAs will be reported to the URKEC and LJMU's Equality, Diversity & Inclusivity Committee with clear articulation of positive or negative impacts, and recommended actions. They may also inform the content of this code of practice where it will give staff greater clarity or further guidance on specific points.

Part 4: LJMU's approach to the selection of research outputs for REF2021 (including support for staff with circumstances that have constrained their ability to work productively over the REF assessment period)

Policies and procedures

72. The total number of outputs to be submitted by a UOA must equal 2.5 times the summed FTE of the unit's submitted staff. A minimum of one output per person must be returned, up to a maximum of five¹² (there is no institutional expectation that all staff will be contributing 3 outputs to the output pool). The [REF2021 Guidance on Submissions](#) details how personal circumstances that may have affected an individual's ability to produce an output or work productively over the REF period will be taken into consideration, and much of this information is detailed below (Staff Circumstances).

73. All LJMU's potential UOAs are required by URSKTC to evaluate the quality of the research outputs of the eligible staff on an ongoing, inclusive and consultative basis. This potentially includes, although not routinely, the outputs of former staff (an unknown number of whom could have been made redundant). Any outputs authored by former staff that are included in the output pool will be deemed to be of a quality that will contribute positively to the unit's profile. This review process also provides validity to the identification of staff with significant responsibility for research (Part 2). Unit of Assessment coordinators in faculties have been required to mobilise internal review processes, that are inclusive of all eligible staff, ahead of a sample of outputs undergoing moderation by external subject/disciplinary experts. Outputs identified as requiring external review are determined on the following bases: where there is disagreement in reviewer quality judgements and/or to validate internal perspective i.e. to help with calibration. External reviewers have been identified on the basis of having relevant research expertise, and their esteemed academic standing within the field. Where possible, the University has engaged the services of former REF and Research Assessment Exercise sub panel members.

74. Since October 2017, all UOAs have initiated or completed internal reviews and sought external validation of their judgements on a cyclical basis for transparency. The internal review process has typically involved 'reading groups' comprised of staff at Reader level and above and includes providing constructive feedback to individual staff on output quality. The Head of Research Excellence & Research Strategy, together with the Faculty

¹² All staff with SRIR on the REF2021 census date of 31st July 2020 must be associated with at least one output (average 2.5; maximum of 5). The University reserves the right to include outputs produced by former staff but their FTE does not contribute to the overall UOA FTE

Associate Deans for Research have overseen this process for quality assurance and consistency purposes. The UOA coordinators and associated reading groups will continue to assess the quality of outputs through to the end of the publication period (31 December 2020). Where appropriate, specific advice on output eligibility for double-weighting has been sought, and the University is likely to request that most books, monographs, novels and other longer-form outputs be considered as double-weighted i.e. count as two outputs.

75. Certain UOAs (UOA 3 Allied Health Professions, Dentistry, Nursing & Pharmacy; UOA4 Psychology, Psychiatry & Neuroscience; UOA9 Physics; UOA11 Computer Science & Informatics), may use citation indices as an indicator of the academic impact of the outputs to inform the assessment of the quality of a research output. Furthermore, the publication of outputs in journals, conference proceedings, books etc. that demonstrate high levels of rigour with respect to peer review and/or editorial processes will be taken as an indicator of quality. In other cases, the member of staff may be asked to provide information that can demonstrate the quality of the cited output in terms of the main REF2021 assessment criteria, namely originality, significance and rigour.

76. Additionally, outputs published through journals and which are likely to be included in LJMU's REF submission do need to comply with the Research England Open Access Policy for REF2021 i.e. be deposited in our institutional (or a subject-specific) repository within three months of the manuscript being accepted for publication. Verification of open access compliance status at an individual output level has been conducted on an ongoing basis by staff in Library Services since April 2016 and will continue until the point of the REF submission.

77. The University will take a hierarchical approach to final output selection on the basis of quality i.e. each individual member of staff included in the submission will be directly associated with their highest quality output in the first instance. The remainder of the output pool will be dispersed to staff/authors who made a significant contribution to an output, on a decreasing quality basis until the required number of outputs for that UOA is achieved (UOA FTE x 2.5, subject to the maximum of five outputs being attributed to a single author). This process will also take account the open access status of outputs. Furthermore, where outputs are judged to be of equal quality, they will distributed to broadly represent the constituent staff grouping (on a disciplinary basis) within the UOA. The outputs selection process will continue into December 2020 and early decisions may change in order to maximise the quality of the submission.

Staff, committees and training

78. Unit of Assessment coordinators and their reading groups operate in an advisory capacity, making recommendations on output selection and staff attribution to the relevant faculty AD-R and the University Head of Research Excellence & Research Strategy. The UOA is then represented by these two individuals at URKEC where final decisions are made.

79. Members of URKEC and all UOA coordinators received mandatory REF2021 equality training in June or July 2019 as detailed in Part 2, paragraph 36. The training materials are available in the staff [intranet](#) for wider consumption.

Staff circumstances

80. The University recognises that individual staff circumstances may significantly compromise a member of staff's ability to work productively over the REF assessment period. For REF2021, staff circumstances can be taken into consideration and could result in the following:

- i. an **individual** may be returned without the required minimum of one output (i.e. the circumstances are so exceptional that the member of staff has not been able to produce the required minimum of one output)
- ii. at a **UOA** level, the total number of outputs may be reduced where the cumulative effects of staff circumstances within the unit have adversely impacted on the pool of outputs available to it (e.g. there are very high proportions of staff in the unit whose individual circumstances have affected their productivity)

81. The following equality-related circumstances apply:

- a. Qualifying as an early career researcher (first appointment as an independent academic meeting the eligibility criteria [paragraph 42] on/after 1st August 2016)
- 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 (clinically qualified academics)
- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability: a physical and/or mental impairment which has a substantial and long-term adverse effect on ability to carry out normal day-to-day activities
 - ii. Ill health, injury, or mental health conditions
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare
 - 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 Appendix I, or relating to activities protected by employment legislation.

See Appendix J¹³ for the permitted reduction in outputs associated with specific circumstances.

NB. Any relevant information that LJMU already holds on staff will **not** be used for the purpose of the REF2021 submission.

The process for declaring circumstances

82. A new process was introduced in June 2019, that is entirely voluntary. It is managed in an appropriately confidential way by the University's Equality, Diversity and Inclusion Manager. Staff have been invited to declare circumstances using a standard template containing associated contextual information about the applicable circumstances (Appendix K) and how the declaration process will operate.

83. Staff have been made aware of the process through direct and general communications (email, news items on the staff intranet) as part of the REF2021 communications plan outlined in Part 1 of this document. All academic staff who were absent from the University at this time (e.g. sickness absence, sabbatical) were sent a letter by Human Resources to their home address directing them to the REF2021 pages of the University's staff intranet where details of the disclosure process is posted and the template is available to download or complete online should a member of staff wish to declare circumstances.

84. When deciding whether or not to declare circumstances, staff will undoubtedly weigh-up the benefits and other consequences of doing so, and the University appreciates that this will be a very personal and in some cases, an unsettling experience¹⁴. However, there may be instances where seeking and securing a reduction, particularly at unit level, recognises the unintentional impact that staff absence can have on colleagues within the UOA, who covered workloads during period/s an individual has been absent i.e. the absence affected the ability of colleagues to work productively over the REF period. Staff should be aware though, of the content of paragraphs 88 to 89 below that will influence whether the University applies to Research England for a reduction in outputs (for an individual and/or unit).

The evaluation of circumstance declarations

85. Where staff do voluntarily declare circumstances, only the Equality, Diversity and Inclusion Manager and the HR Manager (Business Services) will have access to the complete declaration template.

86. The Equality, Diversity and Inclusion Manager, the HR Manager (Business Services) and the Head of Research Excellence & Research Strategy will meet to discuss

¹³ Note that these are defined by Research England in conjunction with EDAP, not by the University

¹⁴ Staff considering declaring circumstances may wish to speak confidentially to the University's Equality, Disability and Inclusivity Manager to talk through the process. This is so that advice can be provided to help manage any anxieties and expectations.

anonymised information, and how each declaration is evaluated will depend on the complexity of the individual case. For example, where circumstances are clearly defined it is likely that the output reduction tariff can be applied in a straightforward manner. Where a combination of circumstances are reported including exceptional circumstances, it may not be possible to come to an initial conclusion regarding any likely reduction at an individual or unit level.

87. Staff can expect to receive an initial acknowledgement that their template submission has been received in HR, and a follow-up email within 7 working days of this, detailing the process to be followed/next steps in the evaluation of the information.

88. Prior to the introduction of this process, all UOA coordinators provided URKEC with a reliable estimate of the output pool associated with their submission at that time, and at the point of submission. Together with knowledge of the likely UOA FTE, this information will inform judgements as to whether the available output pool for a given unit has been disproportionately affected by equality-related circumstances i.e. there is a high proportion of staff in the unit whose individual circumstances have affected their productivity and hence the outputs pool is diminished. Discipline/subject area will also be taken into consideration to recognise units covering disciplines where fewer outputs are traditionally published (e.g. where the monograph is the disciplinary norm). URKEC will identify output pool benchmarks for UOAs and flag UOAs where it would be appropriate to request a reduction in the number of outputs, should staff choose to declare circumstances.

89. The REF2021 [Guidance on Submissions](#) set's out expectations from Research England that universities will not routinely need to request reductions to the number of outputs required by a UOA. This expectation is related to the flexibility afforded by an output requirement of 2.5 (average; minimum of 1). As part-time working is taken account of within the calculation of the overall number of outputs required for the UOA (unit FTE multiplied by 2.5), Research England anticipates that reduction requests on the basis of part-time work hours will also be exceptional.

90. All staff who voluntarily declare circumstances will be offered the opportunity to meet with the Equality, Diversity and Inclusion Manger (together with the Head of Research Excellence & Research Strategy if they wish/consent to this). The purpose of the meeting is to explain how the information has been evaluated, to discuss the implications of a reduction request in the wider context of the UOA, and whether an associated reduction request is to be formally presented to Research England. A letter will be sent to all staff detailing the outcome of the internal evaluation regardless of whether staff wish to meet. Given the varied nature of the complexity of circumstances and the different preferences staff may have about their level of engagement in the decision-making process, it is not possible to specify a definitive timescale within which individual cases will be fully evaluated, but within four weeks of receipt of the declaration in HR is an indicative timescale.

91. Anonymised outcome reports will be reviewed by members of URKEC on a monthly basis from July 2019. The preparation of these reports will ensure that the Equality,

Diversity and Inclusion Manager, the HR Manager (Business Services) and the Head of Research Excellence & Research Strategy reflect on the consistency of their judgements.

92. Where the outcome of internal/LJMU evaluation is that a reduction should apply, the University will submit a formal request to Research England (deadline 6 March 2020). As part of this process, a supporting statement with contextual information at UOA level is provided (size, proportion of staff with declared circumstances), and detailing how the circumstances affected the unit's output pool and why this was determined to be disproportionate. This will be managed by the Head of Research Excellence & Research Strategy.

Equality impact assessment

93. An interim analysis of staff disclosure will be undertaken in December 2019. This will serve to highlight the range of circumstances being disclosed by staff. The findings will inform phase 3 of the communications strategy (paragraph 11) to ensure staff awareness of the process. It may also inform the content of this code of practice where it can potentially provide greater clarity or further guidance. The University will include the observations and findings of this interim EIA in its Staff Circumstances report to be submitted to Research England in July 2021. This report will describe the University's experience of supporting staff with circumstances, and include an anonymised breakdown of the circumstances declared and the number of requests for the removal of the minimum of one output requirement. Additionally, it will include reflections on how the circumstances declared by staff fed into decisions on whether to request a reduction in outputs at unit level, data regarding the proportion of reduction requests through to Research England, and how staff expectations were managed overall.

94. An EIA on the distribution of outputs by the characteristics of staff within the output pool will be undertaken at University-level on the approach to submission (late-2020). Data analyses will include the number of outputs assigned to individual staff with a comparison of all protected characteristics. It will also draw upon/present contextual information where appropriate (relating to dispersal criteria described in paragraphs 76 to 77). Similarly, UOA-level analyses and narratives will be prepared to inform the content of UOA Environment templates in relation to 'People' (section 2 of the REF5b template). However, given that the number of staff within the majority of UOAs is likely to be less than 50, analyses at this level will largely be presented by gender and age.

95. A complete EIA will be undertaken for all three policies after submission to REF2021: identifying staff with SRIR; determining whether research-only staff are independent researchers; and the fair and transparent selection of outputs. This will underpin a report to be submitted to Research England in July 2021, that will present clear conclusions linked to institutional actions for improvement where necessary.

Part 5: Appendices

A: List of abbreviations used in this document

- B: Terms of Reference and membership of faculty Academic Staff Research Status Panels
- C: Individuals, Groups and Committees with responsibility for decision-making in REF2021
- D: Terms of Reference for the University Research and Knowledge Exchange Committee,
- E: Terms of Reference for the Code of Practice Working Group
- F: Indicative schedule and target groups for REF2021 Equality, Diversity & Inclusivity Training
- G: LJMU guidance on the formation and membership of University research institutes, centres and groups
- H: University-conferred research institutes and centres
- I: Other circumstances relating to protected characteristics (as communicated in the [Guidance on codes of practice](#) published by Research England)
- J: Tariffs for the permitted reduction in outputs (these are set and published by Research England in the REF2021 [Guidance on Submissions](#); Annex L)
- K: Template for the declaration of staff circumstances (this is the standard template from Research England and will be edited as bespoke for LJMU in June 2019)

APPENDIX A

AD-R	Associate Dean for Research, Scholarship & Knowledge Transfer
ECR	Early career researcher
EDAP	Equality and Diversity Advisory Panel
EIA	Equality Impact Assessment
ELT	[LJMU] Executive Leadership Team
FRKEC	Faculty Research & Knowledge Exchange Committee
FTE	Full-time equivalent
HEIF	Higher Education Innovation Fund
HESA	Higher Education Statistics Agency
HoD	Head of Department
HR	Human Resources
LJMU	Liverpool John Moores University
PDF	Portable document format
PGR	Postgraduate researcher
PVC	Pro-Vice-Chancellor
QR	Quality-related
RAE	Research Assessment Exercise
RCIF	Research Capital Investment Fund
RCUK	Research Councils UK (now UK Research and Innovation)
REF	Research Excellence Framework
RESAST	Research Assistant (the acronym used by HESA)
SRIR	Significant responsibility for conducting research on an independent basis
SRR	Significant responsibility for research
ToR	Terms of Reference
UCU	University and College Union
UOA	Unit of Assessment
URKEC	University Research & Knowledge Exchange Committee

APPENDIX B



TERMS OF REFERENCE AND MEMBERSHIP

FACULTY RESEARCH & KNOWLEDGE EXCHANGE SUB-GROUP (Panel): Academic Staff Research Status Panel

Chair: Faculty Associate Dean for Research, Scholarship & Knowledge Transfer

1. STRATEGIC CONTEXT

This sub-group of the Faculty Research & Knowledge Exchange Committee (FRKEC) was established to ensure that the process for identifying those academic staff with significant responsibility for research is conducted consistently, transparently and equitably. The University's submission to the Research Excellence Framework (REF) is dependent upon the institution identifying its pool of staff with SRR, noting that these staff must also be undertaking research on an independent basis.

The UK funding bodies define 'significant responsibility for research' as staff for whom time and resources are made available to engage actively in independent research, and that it is an expectation of their job role. As part of this definition, the University specifically requires staff with significant responsibility for independent research (SRIR) to maintain a substantive role in contributing to the vibrancy and development of their local research environment through core membership of a University-endorsed research centre or research institute (or research group in areas with less evolved research cultures). Core or 'full' membership is determined by whether academic staff demonstrate proven research capability to (on a consistent basis) conduct and disseminate original and rigorous research that clearly advances knowledge in their field/sub-field.

The processes and decision-making of the Academic Staff Research Status Panel therefore determine staff eligibility for Core membership of research centres, institutes and groups, and in parallel is used to identify staff with SRIR.

2. GENERIC RESPONSIBILITIES

- To ensure that the activities and decisions of the panel are aligned with the priorities contained within the LJMU Strategic Plan 2017-22
- To ensure that decisions of the panel are aligned to relevant strategic Key Performance Indicators (KPIs) in the University's Research & Scholarship Strategy 2017-22

- To ensure that equality and diversity matters are fully considered, addressed and embedded within the activities and decisions of the panel
- To identify risks and opportunities associated with the decisions and activities which fall within the remit of the panel
- To ensure that Terms of Reference (ToR) are reviewed on an annual basis along with the panel's effectiveness, and that any proposed changes to the ToR are reported to the University Research & Knowledge Exchange Committee (URKEC) for approval as the parent committee for the FRKEC

3. SPECIFIC RESPONSIBILITIES

- To establish the timetable for the review and the agreement of the research status for all academic staff in the faculty on an annual basis
- To implement the data collection and verification process endorsed by URKEC
- To review, agree and record the research status for all academic staff in the faculty on an annual basis
- To implement the communication workflow endorsed by URKEC for the agreed decisions to be disseminated to individual members of staff within 4 weeks of the panel meeting

4. CONSTITUTION

The constitution of each of the panels operating at faculty level is detailed below:

4.1 Reporting and Membership

Reporting to:	Faculty Research & Knowledge Exchange Committee, and the University Research & Knowledge Exchange Committee
Reporting Committees:	n/a
Working Panels/Groups:	n/a
Receiving minutes and selected papers from:	n/a

Faculty of Science membership:		
	Job Title / Representative	Title and Name
Chair	Faculty Associate Dean for Research, Scholarship & Knowledge Transfer	
Secretary	Executive Support Officer	
Members	Faculty Pro-Vice Chancellor	
	Faculty Head of Operations	
	Director of the School of Biological & Environmental Sciences	
	Director of the School of Pharmacy & Biomolecular Sciences	
	Director of the School of Sport and Exercise Sciences	
	Head of Institute for Health Research (co-opted)	
	Pro-Vice-Chancellor for Research & Enterprise	
Head of Research Excellence and Research Strategy (RIS)		

Liverpool Business School membership:		
	Job Title / Representative	Title and Name
Chair	Faculty Associate Dean for Research, Scholarship & Knowledge Transfer	
Secretary	Executive Support Officer	
Members	Faculty Pro-Vice Chancellor	
	Director of Research & Knowledge Transfer	
	Director of Academic Portfolio	
	Director of Corporate Development	
	Director of the School of Law	
	Pro-Vice-Chancellor for Research & Enterprise	
Head of Research Excellence and Research Strategy (RIS)		

Faculty of Engineering & Technology membership:		
	Job Title / Representative	Title and Name
Chair	Faculty Associate Dean for Research, Scholarship & Knowledge Transfer	
Secretary	Senior Faculty Research Administrator	
Members	Faculty Pro-Vice Chancellor	

	Head of Astrophysics Research Institute	
	Director of the School of Civil Engineering and Built Environment	
	Director of the School of Computer Science and Mathematics	
	Director of the School of Engineering	
	Pro-Vice-Chancellor for Research & Enterprise	
	Head of Research Excellence and Research Strategy (RIS)	

Faculty of Health membership:		
	Job Title / Representative	Title and Name
Chair	Faculty Associate Dean for Research, Scholarship & Knowledge Transfer	
Secretary	Executive Support Officer	
Members	Faculty Pro-Vice Chancellor	
	Director of Public Health Institute	
	Director of the School of Psychology	
	Director of the School of Nursing & Allied Health	
	Pro-Vice-Chancellor for Research & Enterprise	
Head of Research Excellence and Research Strategy (RIS)		

Faculty of Arts, Professional & Social Sciences membership:		
	Job Title / Representative	Title and Name
Chair	Faculty Associate Dean for Research, Scholarship & Knowledge Transfer	
Secretary	Executive Support Officer	
Members	Faculty Pro-Vice Chancellor	
	Director of the School of Justice Studies	
	Director of Liverpool School of Art & Design	
	Director of the Liverpool Screen School	
	Director of the School of Humanities & Social Sciences	
	Director of the School of Education	
Pro-Vice-Chancellor for Research & Enterprise		

	Head of Research Excellence and Research Strategy (RIS)	
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*Executive Dean's nominee as alternate in the absence of a Director of School

4.2 Quoracy

Complete attendance is a requirement. All constituent schools must have appropriate representation which by default is the School Director. Alternative representation is by exception and only with the prior agreement of the Faculty Dean/Executive Dean.

4.3 Frequency

The sub-group will meet a minimum of once during the second semester of the academic year, with related items discussed at scheduled FRKEC meetings.

APPENDIX C

Individuals, Groups and Committees within LJMU with responsibility for decision-making in REF2021

University Research & Knowledge Exchange Committee	
<p><i>A formally designated committee within the University committee structure, reporting to the University's Executive Leadership Team.</i></p> <p><i>URKEC is the formal decision-making committee within the University for REF2021, approving the policies and practices for identifying staff with significant responsibility for research, determining research independence and selecting outputs.</i></p> <p><i>Membership gender profile: 6F, 5M</i></p>	
Membership	Institutional role
Pro-Vice-Chancellor for Research & Enterprise	Chair; has strategic leadership for research within the University, including REF2021
Associate Dean for Research, Scholarship & Knowledge Transfer in each of the University's five faculties	Chairs of Faculty Research & Knowledge Exchange Committees; responsible for overseeing UOA-level preparations in respective faculties
Head of Research Excellence & Research Strategy	Responsible for managing the University's submission to REF2021
Head of Knowledge Exchange	Responsible for managing institutional policy and practice in relation to knowledge exchange
Head of Grants, Policy & Projects	Responsible for managing institutional policy and practice in relation to income generating activity (grants, policy, projects)
Head of the Doctoral Academy	Responsible for leadership of the Doctoral Academy
Executive Support Officer	To record the business of URKEC

REF2021 Code of Practice Working Group

This working group advises URKEC on the development and implementation of the institutional code of practice for REF2021, and oversees the performance and evaluation of related equality impact assessments.

Membership gender profile: 5F, 6M (1 to be confirmed: UCU)

Membership	Role	Committee inter-dependencies
Pro-Vice-Chancellor Research & Enterprise	Chair; has strategic leadership for research within the University, including REF2021	URKEC Chair and member of all five faculty Academic Staff Research Status Panels
Pro-Vice-Chancellor for Strategic Initiatives	Chair of LJMU's REF2021 Appeals Panel	
HR Business Partner, Policy Development	Member of LJMU's REF2021 Appeals Panel	
Head of Research Excellence & Research Strategy	Responsible for managing the University's submission to REF2021	Member of URKEC and all five faculty Academic Staff Research Status Panels
Associate Dean for Research, Scholarship & Knowledge Transfer, Faculty of Science	Responsible for overseeing UOA-level preparations for REF2021 in the Faculty of Science	Member of URKEC and Faculty of Science Academic Staff Research Status Panel
Associate Dean for Research, Scholarship & Knowledge Transfer, Liverpool Business School	Responsible for overseeing UOA-level preparations for REF2021 in the Liverpool Business School	Member of URKEC and Liverpool Business School Academic Staff Research Status Panel
Professor of Scottish Literary Studies, Faculty of Arts, Professional and Social Science	UOA coordinator for UOA27 (English Language & Literature). This UOA has a high proportion of staff with circumstances that have affected their ability to work productively over the REF cycle	
Professor of Applied Mathematics, Faculty of Engineering & Technology	Responsible for implementing the SRIR process in the School of Computer Science & Mathematics	Member of the Academic Staff Research Status Panel for the Faculty of Engineering & Technology
Head of Research, Public Health Institute, Faculty of Health	Responsible for implementing the SRIR process in the Public Health Institute. The Institute has a high proportion of staff on research-only contracts.	Member of the University's Athena Awan working group

Equality, Diversity & Inclusivity Manager	Responsible for managing the staff declaration process for REF2021
HR Manager (Business Services)	Key informant to the staff declaration process for REF2021
University and College Union LJMU Branch representative	To represent the interests of the LJMU academic community

Academic Staff Research Status Panel (see Appendix B for terms of reference and membership) to define staff with SRIR and assign membership status of research centres and institutes

This panel operates in each of the University's five faculties as a sub-group of FRKEC. It has decision-making responsibility for identifying staff with significant responsibility for independent research.

Liverpool Business School	Gender profile: 3F, 5M
Faculty of Science	Gender profile: 4F, 6M
Faculty of Engineering & Technology	Gender profile: 2F, 11M
Faculty of Health	Gender profile: 6F, 3M
Faculty of Arts, Professional & Social Science	Gender profile: 4F, 6M

Individuals involved in the staff circumstances declaration process

These individuals will collectively make institutional decisions regarding any reduction in outputs at an individual and/or unit level, and whether formal reductions requests will be made to Research England. The group will report decisions/outcomes to URKEC on a monthly basis.

The Equality, Diversity & Inclusivity Manager and Head of Research Excellence & Research Strategy will prepare all equality impact assessments for REF2021.

Membership gender profile: 2F, 1M

Equality, Diversity & Inclusivity Manager	Responsible for managing the staff declaration process for REF2021
HR Manager (Business Services)	Key informant to the staff declaration process for REF2021
Head of Research Excellence & Research Strategy	Responsible for managing the University's submission to REF2021

Individuals involved in the process for determining research independence

The Head of Research Excellence & Research Strategy will manage the process to determine whether research-only staff meet the definition of an independent researcher. Working with relevant UOA coordinators, these individuals will jointly make outcome recommendations to URKEC; URKEC is the decision-making body.

Administrative support to record preliminary decisions and recommendations will be provided by a designated Research Support Officer.

Head of Research Excellence & Research Strategy	Responsible for managing the University's submission to REF2021
UOA coordinator from the area/UOA the researcher aligns	Responsible for coordinating UOA-level preparations for REF2021

Advisory roles: UOA coordinators

Each UOA that the University is considering submitting to has a local coordinator/s. UOA coordinators implement local processes for collating materials and outputs for internal review and external moderation.

UOA coordinators act in an advisory capacity, making recommendations on output selection and quality to Associate Deans and the Head of Research Excellence & Research Strategy.

Overall decision-making on output selection and submission occurs at URKEC.

Membership gender profile: 5F, 13M

UOA coordinator roles exist for the following units:

UOA3: Allied Health Professions, Dentistry, Nursing & Pharmacy	UOA4: Psychology, Psychiatry & Neurosciences
UOA7: Earth Systems and Environmental Sciences	UOA9: Physics
UOA11: Computer Science & Informatics	UOA12: Engineering
UOA13: Architecture, Built Environment & Planning	UOA17: Business & Management Studies
UOA18: Law	UOA20: Social Work & Social Policy
UOA23: Education	UOA24: Sport & Exercise Sciences, Leisure & Tourism
UOA27: English Literature & Language	UOA28: History
UOA32: Art & Design: History, Practice & Theory	UOA34: Communication, Cultural & Media Studies, Library & Information Management



TERMS OF REFERENCE AND MEMBERSHIP

UNIVERSITY RESEARCH AND KNOWLEDGE EXCHANGE COMMITTEE

CHAIR: Professor Keith George,
Pro-Vice-Chancellor (Research and
Enterprise)

1. STRATEGIC CONTEXT

The Research & Knowledge Exchange Committee is responsible for leading the development on an ambitious institutional research and knowledge transfer strategy to conduct world-leading research and for over-seeing the implementation of this. In doing so, it will set out a clear ambition for the performance of research excellence and thus enhance the professional reputation of the University.

2. GENERIC RESPONSIBILITIES

- To ensure that the activities and decisions of the Committee are aligned with the priorities contained within the LJMU Strategic Plan 2017-2022
- To oversee progress of relevant strategic Key Performance Indicators
- To ensure that equality and diversity matters are fully considered, addressed and embedded within the activities and decisions of the Committee
- To identify risks and opportunities associated with the proposals, decisions and other activities which fall within the remit of the Committee
- To ensure terms of reference are reviewed on an annual basis along with the Committee's effectiveness
- To ensure any changes to the terms of reference are reported to the relevant parent committee for approval
- To ensure the Committee complies with the standards and guidelines provided by the University's Secretariat for reporting and presentation

3. SPECIFIC RESPONSIBILITIES

- 3.1. Facilitating the pursuit and delivery of the very highest quality research.
- 3.2. Ensuring that the research impact agenda is met via transfer knowledge to the wider community.
- 3.3. Encouraging a culture in which excellent research and staff scholarship impact upon the student experience.
- 3.4. Putting the support for scholarship and the development of people at the heart of the University's research strategy, including postgraduate research (PGR) students and early career researchers, and ensure adherence to the Research Concordat.
- 3.5. Ensuring that appropriate resources (e.g. RCIF, QR, HEIF etc.) are being used to deliver a sustainable, physical and intellectual infrastructure to support, conduct and disseminate our high quality research. This will focus particularly on capacity building to achieve a critical mass of activities, targeted growth in PGR numbers and further growth in research income.
- 3.6. Advising the Vice-Chancellor on budgets and strategic investment to support research, including star appointments.

APPENDIX D.

- 3.7. Developing policy guidance for faculties to attract and appoint good research staff and funded fellowships.
- 3.8. Raising the profile of research within and beyond the University by supporting high stakes activity at institutional level. This will include vibrant faculty/research unit seminar programmes of both internal and external speakers, Vice-Chancellor sponsored inaugural lectures, public lectures, LJMU hosted conferences and research committee visits to Schools and Research Centres.
- 3.9. Promoting internal and external collaborations, including the forging of strong links to RCUK and other funders, industry and charities etc.
- 3.10. Preparing for and being responsible for the submission to the REF (with relevant input from Faculty Executive Deans and the Human Resources Department).
- 3.11. Monitoring and assessing the impact (defined so that it is inclusive of academic, economic, societal, quality of life and cultural impact) of our research through a suite of key performance indicators (e.g. grants awarded, citations etc.). These will be benchmarked with sector performance.
- 3.12. Developing and ensuring that research governance policies and regulations safeguard the integrity of research across the institution.
- 3.13. Developing and implementing grant application policy (cf. Research Councils demand management requirements).

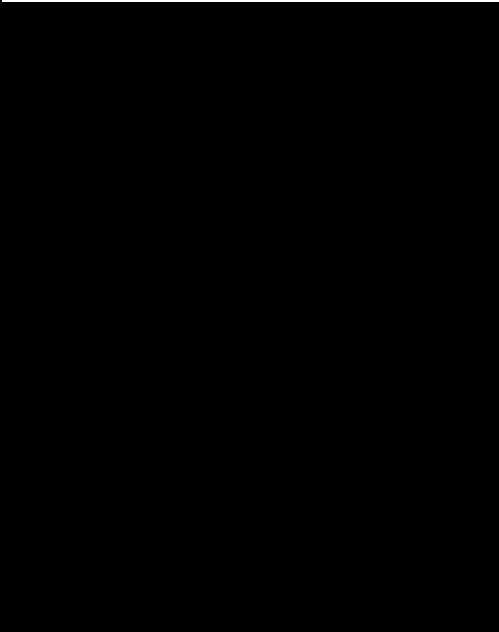
4. CONSTITUTION

The constitution is detailed below:

4.1. Reporting and Membership

Reporting to:	Academic Board / SMT as appropriate
Reporting Committees:	<ul style="list-style-type: none">• Research Degrees Committee• Research Ethics Committee• SCS Faculty Research & Knowledge Exchange Committee• FET Faculty Research & Knowledge Exchange Committee• APS Faculty Research & Knowledge Exchange Committee• LBS Faculty Research & Knowledge Exchange Committee• Health Faculty Research & Knowledge Exchange Committee• STAR Panel
Working Panels/Groups:	<ul style="list-style-type: none">• Researcher Development Concordat Steering Group• Technology Transfer Working Group

APPENDIX D.

	Job Title / Representative	Title and Name
Chair:	Pro-Vice-Chancellor Research & Enterprise	
Secretary:	Executive Support Officer	
Members:	Dean of the Doctoral Academy	
	Head of Research Excellence and Research Strategy	
	Head of Grants, Policy & Projects	
	Head of Knowledge Exchange and Commercialisation	
	Research Governance Manager	
	Associate Deans for Scholarship, Research and Knowledge Transfer	
	Research Grants Manager	

The Committee will be empowered to co-opt further members with specialist knowledge, to assist as necessary, and to invite guest speakers to make presentations on specific topics.

The Committee will invite interested parties to attend meetings or those parts of meetings of relevance to them.

Members have equal voting rights, but the Chair has the casting vote.

4.2. Quorum

To ensure that the Research & Knowledge Exchange Committee is quorate, meetings will only proceed if the Chair, a representative from a minimum of at least two faculties and any one representative from professional services are present.

4.3. Frequency

The Research & Knowledge Exchange Committee meets monthly throughout the academic year.

APPENDIX E



TERMS OF REFERENCE AND MEMBERSHIP

REF2021 CODE OF PRACTICE WORKING GROUP

Chair: Pro-Vice-Chancellor for Research & Enterprise

1. STRATEGIC CONTEXT

This sub-group of the University Research & Knowledge Exchange Committee (URKEC) was established to ensure that the University's code of practice for REF2021 is developed and implemented in accordance with relevant guidance and legislation. The University's submission to the Research Excellence Framework (REF) is dependent upon the institution's code of practice being approved by Research England, following review by the REF2021 Equality and Diversity Advisory Panel.

2. GENERIC RESPONSIBILITIES

- To ensure that the activities and decisions of the working group are aligned with the priorities contained within the LJMU Strategic Plan 2017-22
- To ensure that decisions of the panel are aligned to relevant strategic Key Performance Indicators (KPIs) in the University's Research & Scholarship Strategy 2017-22
- To ensure that equality and diversity matters are fully considered, addressed and embedded within the activities and decisions of the working group
- To identify risks and opportunities associated with the decisions and activities which fall within the remit of the working group
- To ensure that Terms of Reference (ToR) are reviewed on an annual basis along with the working group's effectiveness, and that any proposed changes to the ToR are reported to the University Research & Knowledge Exchange Committee (URKEC) for approval as the parent committee for the Code of Practice Working Group

3. SPECIFIC RESPONSIBILITIES

- To oversee the development of the University’s code of practice for REF2021, ensuring that the procedures embedded within it are neither discriminatory or unlawful
- To govern the implementation of LJMU’s code of practice for REF2021, including overseeing the performance and evaluation of related equality impact assessments (EIAs)
- To make recommendations on changes to the code of practice based on review of EIAs and anonymised reports on staff engagement with related processes, including but not limited to: the declaration of circumstances, appeals, determining research independence
- To advise URSKTC on EIA outcomes, making recommendations for wider institutional consideration regarding existing equality, diversity and inclusivity policies as necessary

4. CONSTITUTION

The constitution of the working group is detailed below:

4.1 Reporting and Membership

Reporting to:	University Research & Knowledge Exchange Committee
Reporting Committees:	n/a
Working Panels/Groups:	n/a
Receiving minutes and selected papers from:	n/a

	Job Title / Representative	Title and Name
Chair	Pro-Vice-Chancellor for Research & Enterprise	
Secretary	Research Support Officer	
Members	Pro-Vice-Chancellor for Strategic Initiatives	
	HR Business Partner, Policy Development	
	Head of Research Excellence & Research Strategy	

	Associate Dean for Research, Scholarship & Knowledge Transfer, Faculty of Science	
	Associate Dean for Research, Scholarship & Knowledge Transfer, Liverpool Business School	
	Professor of Scottish Literary Studies, Faculty of Arts, Professional and Social Science	
	Professor of Applied Mathematics, Faculty of Engineering & Technology	
	Head of Research, Public Health Institute	
	Equality, Diversity & Inclusivity Manager	
	HR Manager (Business Services)	
	University and College Union LJMU Branch representative	

4.2 Quoracy

To ensure the Code of Practice Working Group is quorate, meetings will only proceed if the Chair, a representative from a minimum of two faculties and any one representative from professional services are present.

4.3 Frequency

The working group will meet every two months from December 2018 through to March 2021.

APPENDIX F

Indicative schedule and target groups for REF2021 Equality, Diversity & Inclusivity Training

Individual/Group	Type of training	Indicative timescale
Head of Research Excellence & Strategy	1-day Workshop (Advance HE)	w/c 1 st April 2019
Equality, Diversity & Inclusivity Manager	1-day Workshop (Advance HE)	w/c 15 th April 2019
UOA coordinators	Seminar with focus on unconscious bias	w/c 24 th June 2019
HR Manager (Business Services) (member of REF2021 Code of Practice Working Group)	Abridged materials from Advance HE workshop	w/c 1 st July 2019
Staff managing the Appeals process	Abridged materials from Advance HE workshop	w/c 1 st July 2019
URKEC	Abridged materials from Advance HE workshop (facilitated session)	w/c 11 th July 2019
Faculty Academic Staff Research Status Panels (3 dates to be offered; attendance at 1 required)	Abridged materials from Advance HE workshop (facilitated session)	w/c 1 st July 2019
		w/c 9 th September 2019
		w/c 11 th November 2019



GUIDANCE ON THE FORMATION AND MEMBERSHIP OF UNIVERSITY RESEARCH INSTITUTES, CENTRES AND GROUPS

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1. Introduction

The designation of a University Research Institute or Research Centre is an institutional acknowledgement of the quality in research programmes and activities within a discipline. The criteria associated with establishing an Institute or Centre are primarily related to: (a) the overall quality of research and related activities, and (b) the delivery of a sustainable and vibrant research environment in which research is conducted.

The existence of a Research Group is recognised, but these entities are not formally designated/approved at institutional level. Faculty approval for the designation of a Research Group is required. Smaller scale structures (i.e. research units or clusters) are not supported.

A **Research Centre** at LJMU provides an organisational structure for research and knowledge exchange in a given academic area or closely related areas. A Centre will

usually be established and maintained for a period of time before an application for Research Institute status is made.

A **Research Institute** at LJMU shares the Research Centre's focus on research and knowledge exchange but will generally arise from a well-established research platform, reflecting a depth and breadth of research excellence. It is likely that the work conducted by an Institute may provide a means for promoting and supporting interdisciplinary research around a given discipline by involving staff and postgraduate students from across the University (and with external partners). An Institute would be expected to develop from an existing Research Centre and additionally be expected to have:

- (i) attracted a significant (as appropriate to the discipline) level of external funding to support its activities
- (ii) actively fostered external links between academic and professional communities (e.g. other public sector organisations or industry) through, for example, outreach, knowledge exchange activities
- (iii) developed a critical mass of research-active staff and postgraduate students

A Research Institute may also exist as a far more formalised structure, equivalent to an autonomous unit within the internal structure of the University.

2. Characteristics of a University Research Institute / Centre

A Research Institute / Centre should:

- Clearly demonstrate how it will contribute to the delivery of the current Strategic Plan for the University (2017-22)
- Act as a focus for research in an area of the University which can consistently demonstrate activities that are recognised as internationally excellent or world leading. The normal expectation is that the initial application will be to establish a Research Centre before submitting a proposal for Research Institute status. A proposal to establish a University Research Institute should be able to demonstrate that the research undertaken is substantially operating at internationally excellent or world-leading level

- Have a strategy that takes account of and aligns with appropriate external research and knowledge transfer priorities (e.g. UKRI, Research England, Innovate UK, NIHR etc.)
- Be based within a faculty/school/schools, but be actively seeking a University-wide, and as appropriate, external membership
- Have a vibrant research environment, including mechanisms to ensure that research-acquired knowledge is disseminated via scholarly contributions to the University's taught programmes, research-focused student projects and seminars with the overall aim of enriching the student experience
- Promote collaborative research funding opportunities, internally and externally
- Form a major (but not exclusive) platform for promoting and generating research activities within its discipline
- Have a sustainable research environment, with external income sufficient to further its own growth, independent of any University allocation of resources
- Be actively engaged in appropriate socio-economic impact activities to 'exploit' the outcomes of research through public engagement and knowledge exchange activities
- Foster a postgraduate culture, primarily through MPhil and PhD students but also through the development of taught postgraduate programmes
- Establish a steering group, which, at Research Institute level, has appropriate external membership / advisors

3. Membership

Research Centres, Institutes and Groups share common eligibility criteria. Core members are staff academic staff who can demonstrate proven research capability (on a consistent and independent basis), to conduct and disseminate original and rigorous research that clearly advances knowledge in their field/sub-field. On a volume basis, to encompass disciplinary differences in the length of time it may take for staff to undertake research and develop different types of output, this equates to a member of academic staff producing two or more research outputs over a four-year rolling period (pro-rata for <1.0 FTE staff).

Associate member status exists to allow aspiring researchers to work within the Centre / Institute / Group. This category also applies to staff who are not currently undertaking self-directed research (not independent). Staff in Research Assistant roles generally carry-out another individual's research programme and would be assigned Associate membership. Likewise, postgraduate research students should be encouraged to join Institutes, Centre and Groups as Associate members, to enable them to contribute to, and benefit from active research environments.

The third membership category is Affiliate membership, and this applies only to designated Research Institutes and Centres. Affiliate membership is most frequently offered at an individual level e.g. to visiting researchers or non-LJMU staff on sabbatical. However, it can also apply at an organisational level should the Institute / Centre wish to formally invite and develop partnership arrangements with another HEI or external organisation (a memorandum of understanding would generally apply in this case).

Membership is not granted in perpetuity. Core membership is subject to annual review, in line with the University's process for identifying staff with significant responsibility for undertaking independent research. Research Institutes and Centres should set-out in the initial application or biennial review reports, what rigorous review procedures are in place for other categories of membership.

Associate members may over time achieve Core membership as their research career becomes more established; conversely, core membership can be revoked when individuals fail to meet the institution's expectation as per the criteria specified above.

4. How to Apply for Research Institute or Research Centre Designation

Schools and faculties that are interested in establishing a University Research Institute or Centre should first discuss the proposal with Professor Keith George (Pro Vice Chancellor for Research & Enterprise). Dr Diana Leighton in Research &

Innovation Services can support potential applicants with the development of applications. The formal case for establishing a University Research Institute or Centre should be scrutinised at faculty-level (usually the appropriate faculty Research & Knowledge Exchange Committee, RKEC) before being submitted to Dr Diana Leighton who will take the proposal to the University RKEC for review. As part of the review, the research lead(s) of the proposed Institute / Centre may be invited to a meeting of the URKEC to present the proposal, but this is not necessarily a formal requirement. On the basis of the URKEC review, either a recommendation will then be made to the University's Executive Management Team to establish the Institute / Centre, or the proposal may be sent back to the school / faculty for modification.

The proposal (no more than 15 A4 pages excluding member CVs) should include the following information about the proposed Institute / Centre:

- Aims and objectives of the Research Institute / Centre. This section should clearly articulate the 'added value' that the creation of a Institute / Centre will be expected to bring to the University and the delivery of the current Strategic Plan (2017-22). This should include demonstration that (a) the work and interests of the Institute / Centre are coherent; (b) the Institute / Centre's objectives are aligned with or will address national or international strategic priorities (e.g. those of UKRI)
- Details of initial membership, including leadership positions such as Director and for Institutes, Deputy-Director, the steering committee and external partners and advisors, as appropriate
- A 5 year strategic plan setting clear goals for the delivery of key research and knowledge exchange metrics (e.g. research income, KTPs, PhD completions etc.)
- Details regarding the quality of research performed, including a list of the most significant REF-eligible outputs over the past 4 years, and information about local quality-improvement initiatives as appropriate
- Plans to demonstrate how the research environment will be sustained financially through Research England QR funding and competitive grant income. Please include a list of external research funding won over the past 4

years (NB indicate where funds are shared with other institutions) and what strategy will be adopted to grow such income

- Details of how the Institute / Centre will seek to grow the postgraduate research community. Please include details of completed research awards (MPhil, MRes and PhD) over the past 4 years
- Evidence of a vibrant research environment (e.g. seminar programme, visiting researchers etc.). This should also specifically address how the activities of Institute / Centre will seek to enrich the student experience and inspire colleagues
- Details of how the broader socio-economic impact of the research conducted within the Institute / Centre will be achieved outside the Academy
- Research Institutes and Centres wishing to develop a logo should first contact the Marketing and Corporate Communications department
- Brief (max. 1 side of A4 each) CV's of the initial Institute / Centre members should be attached as an Appendix
- The proposal must be accompanied by a supporting letter from the Faculty Executive Dean(s) and School Director(s)

5. Biennial Review

The Research Institute / Centre will be invited to submit a short report (up to 4 A4 sides) every two years to the URKEC presenting a case for the continued conferment of the title (exceptionally, the content of the submission to a research assessment exercise such as REF2021 may serve in place of the report).

The content of the Biennial Review should emphasise / be framed in the context of excellence, and structured under headings, the following being mandatory:

Structure and governance

Describe the governance arrangements of the Centre / Institute such as its steering group, documenting how often it meets, what research areas/groups are included and how they are organized. Comment on staff engagement over the past two years and critical mass, include a list of members (Core, Associate, Affiliate)

Strategic alignment

Demonstrate alignment to the University strategic plan, but also to the priorities of relevant, named external funding bodies and other commissioning organisations supporting knowledge exchange activities. Describe future intentions to exploit specific funding and knowledge exchange opportunities

Research Environment

Describe how a collegiate research culture is fostered and grown, with examples of how this has been achieved over the past two years. Include details of the seminar series run by the Institute / Centre and member engagement with it. Report on highly noteworthy activities over the last two years. Comment on the levels and breadth of externally generated income and the number of PGR completions and trends over time. Clearly describe the Institute / Centre future strategic priorities and associate targets to build on prior (two-year) performance

Interdisciplinarity and collaboration

Describe how internal and external (to LJMU) relationships are supported and encouraged, which areas show potential for growth and how this may be achieved

Outputs and outcomes

Supply selected examples of internationally-excellent or world-leading publications or other forms of output, impacts and income from prestigious and diverse sources, directly relating to the Institute / Centre

On the basis of this report the Committee may:

- (i) agree that the title be confirmed for a further two years
- (ii) ask the Research Institute / Centre to submit revised or additional information
- (iii) request a full application, as for the initial conferment of the title, which will be reviewed in the same way as the initial application.

In the event of submission of (ii) or (iii), where URKEC consensus is that the entity is not performing at the appropriate level, the Committee will recommend that Research Institute status be demoted to Research Centre, or that Research Centre

status be withdrawn.

6. Definition and Operation of a Research Group

A Research Group is a grouping of researchers with an agreed-upon lead/leader, who share common and complimentary research interests. They will normally be people who work on research projects that fall under an identifiable research theme or set of themes who may collaborate on common research projects, and who co-supervise research students. Group members generally have similar needs with respect to research infrastructure, may share technical and research support staff and research equipment, and submit joint applications for funding etc. Research Groups will typically be hosted by faculties/schools (though interdisciplinary Groups may also exist) and will be expected to fulfil a range of functions aimed at strengthening, extending and promoting their joint research and research training activities and linkages regionally, nationally and internationally, raising funds for common projects and initiating new intellectual ventures.

Generally, the life span of a Research Group will depend on the ability of its members to sustain their collaboration and related research productivity. However, the creation of a Research Group can be an initial strategic step to enhance the research environment where no relevant/aligned Research Institute or Centre currently exists. In these instances in particular, Faculty Research & Knowledge Exchange Committees (FRKEC) should encourage the development of the Research Group with a longer-term view to applying for University Research Centre status.

A Research Group would not be expected to present a formal application for designation but their existence must be justified and then ratified at school and faculty level (by FRKEC). There are no institutional expectations or targets that the Group must deliver (external income generation; research quality benchmarks) and no requirement to report their activity to University Research & Knowledge Exchange Committee. However, it is recommended as good practice, that the relevant FRKEC

has oversight of the Research Group and puts in place arrangements to support and monitor Group activities.

Guidance approved by University Research, Scholarship & Knowledge Transfer, March 2019

APPENDIX H

University-conferred research institutes and centres, and relevant research groups with broad alignment to LJMU structures and UOAs (correct as of October 2020)

FACULTY	INSTITUTE / CENTRE and conferment year (research groups in areas with less well-developed research cultures]	LJMU UOA alignment
Faculty of Arts, Professions & Social Studies	Institute for Cultural Capital (2010)	UOA34
	Liverpool Centre for Advanced Policing (2015)	UOA18/20
	Centre for the Study of Crime, Criminalisation & Social Exclusion (2010)	UOA20
	Literature & Cultural History Research Institute (research centre since 2006; institute status awarded 2018)	UOA27
	Centre for Port and Maritime History ¹ (1996)	UOA28
	Centre for Educational Research (2004)	UOA23
	Institute of Art & Technology (research centre since 2011; institute status awarded 2018)	UOA32 UOA34
Liverpool Business School ²	<i>Digital Marketing & Retailing Research Group</i>	UOA17
	<i>International Business Management & Strategy Research Group</i>	
	<i>Leadership Education & Development Research Group</i>	
	<i>Project Management Research Group</i>	
	<i>Small Business & Entrepreneurship Research Group</i>	
	Centre for the Study of Law in Theory and Practice	UOA18
Faculty of Engineering & Technology	Astrophysics Research Institute (1999)	UOA9
	Built Environment & Sustainable Technologies Research Institute (research centre since 2006; institute status awarded 2010)	UOA13
	General Engineering Research Institute (2002)	UOA12
	Liverpool Logistics, Offshore and Marine Research Institute (2008)	UOA12
	Research Centre for Critical Infrastructure Computer Technology & Protection (2011)	UOA11
	Mechanical Engineering & Materials Research Centre (2013)	UOA12
	Research Centre in Data Science (2017)	UOA11
	Research Centre for Electrical and Electronic Engineering (2007)	UOA12
Faculty of Science	Research Institute for Sport & Exercise Science (1997)	UOA24
	Institute for Health Research (2006)	UOA3
	Research Centre in Evolutionary Anthropology & Palaeoecology (2004)	UOA7
	<i>Geography & Environmental Science; Behavioural Ecology & Physiology; Biodiversity & Conservation Research Groups (3)</i>	UOA7
	Centre for Natural Products Discovery (2018)	UOA3
Faculty of Health	Public Health Institute (research centre since 1999; institute status awarded 2017)	UOA3
	Research Centre in Brain & Behaviour (2013)	UOA4
	Institute for Health Research (2006)	UOA3

¹ Joint with the University of Liverpool and Liverpool Maritime Museum but not conferred by LJMU as a Research Centre

² All research groups created through a formal process of application within the Faculty in 2017/18

APPENDIX I

A summary of the equality legislation which the University has to comply with generally, and which is being taken into account when preparing LJMU's REF 2021 submissions, is provided below.

Age	<p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
Disability	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had</p>

	<p>a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to</p>

	<p>be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<p>Political opinion</p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
<p>Pregnancy and maternity</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may</p>

	<p>return a reduced number of research outputs, as set out in ‘Guidance on submissions’, paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in ‘Guidance on submissions’, Part 3, Section 1, ‘Staff circumstances’.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby’s birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers</p>

	<p>that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>

APPENDIX J

1. Early Career Researchers (ECR): 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

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

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

APPENDIX K



PRIVATE AND CONFIDENTIAL

REF 2021

To: All members of staff eligible for return in REF2021 who wish to declare individual circumstances

From: Moni Akinsanya, Equality & Diversity Manager, People and Organisational Development University (LJMU), m.m.akinsanya@ljmu.ac.uk

Subject: REF2021, consideration of individual staff circumstances

This document is being sent to all staff who are eligible for submission to REF2021 (see [LJMU Code of Practice for REF2021](#) and national [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 December 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 early career researcher (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
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you are requested to complete the attached form. Further information can be found in paragraph 160 of the [Guidance on Submissions](#). 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.

More on establishing ECR status for REF 2021

To help us to verify your ECR status, we need some information about your research career history, including the date (month/year) at which you first met the REF definition of an ECR and why prior to that point you did not. It would therefore be helpful if you could write a short paragraph with brief details of your employment before you arrived at LJMU, and roles since then. A typical example of a statement used to establish ECR status is:

“Following conferment of my PhD in July 2015, I was employed by LJMU as a research assistant working under the direction of Professor X. I was appointed to a lecturer position (teaching and research) on 1st November 2016 and this is the point at which I commenced an independent research career. I currently hold an EPSRC New Investigator Award (2018-2020) and a director of studies for two LJMU PhD students”.

For more information on the definition of an ECR, please see paragraphs 146-149 in the REF2021 [Guidance on Submissions](#).

Ensuring Confidentiality

All information will be held securely and confidentially in accordance with the General Data Protection Regulation (GDPR)/Data Protection Act 2018.

Within the University, a very small number of people will see the information that you provide. Where information about complex circumstances is provided, only named Equality, Diversity and Inclusion Personnel in Human Resources (HR) can see all details you provide in the attached form. This is limited to Moni Akinsanya, Equality, Diversity and Inclusion Manager and in the eventuality that Moni is unavailable, Greg Thompson (Head of HR Business Services and Employee Relations). The Equality,

Diversity and Inclusion Manager, the Head of HR Business Services and Employee Relations and the Head of Research Excellence & Research Strategy will meet to discuss anonymised information, and how each declaration is evaluated will depend on the complexity of the individual case.

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 national 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 submission date to REF2021 (31 March 2021). If this is the case, then staff should contact the Equality, Diversity and Inclusion Manager to provide the updated information.

What action do I need to take?

Please forward your completed form to EDIREF2021@ljmu.ac.uk (Moni Akinsanya, Equality, Diversity and Inclusion Manager) at your convenience but **by 31st January 2021 at the very latest** to allow sufficient time to evaluate your circumstances ahead of submission to the REF at the end of March 2021.

Moni Akinsanya
Equality, Diversity and Inclusion Manager
Human Resources
Exchange Station, Tithebarn Street
Liverpool
L2 2QP
Tel: 01512318141
E: EDIREF2021@ljmu.ac.uk

If further information is required about any circumstances disclosed, Moni Akinsanya will contact you.

Name: Click here to insert text.

Department: Click here to insert text.

Unit of Assessment: Click here to insert text.

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). <i>Please include a statement about your research career history (see example above) and include the date you became an early career researcher.</i>	Click here to enter a date.
Career break or secondment outside of the HE sector. <i>Dates and durations in months.</i>	Click here to enter dates and durations.
Family-related leave; <ul style="list-style-type: none">• statutory maternity leave• statutory adoption leave• Additional paternity or adoption leave or shared parental leave lasting for four months or more. <i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i>	Click here to enter dates and durations.
Disability (including chronic conditions) <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.
Mental health condition <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.
Ill health or injury <i>To include: Nature / name of condition, periods of absence from work, and periods at work when</i>	Click here to enter text.

<i>unable to research productively. Total duration in months.</i>	
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	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 Moni Akinsanya (and exceptionally Greg Thompson) in LJMU People and Organisational Development
- I realise it may be necessary to share the information with the national REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.
- I realise that anonymised information will be shared with the Head of Research Excellence & Research Strategy who manages the University REF submission (unless you give permission for full details to be shared)

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for the Equality, Diversity and Inclusion Manager to contact me to discuss my circumstances, and my requirements in relation to this/these.

I give my permission for all the details of this form to be passed on to Diana Leighton (Head of Research Excellence & Research Strategy)

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number