

LJMU code of practice for the selection of staff for the Research Excellence Framework 2014

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Introduction

The Research Excellence Framework (REF) is the peer review process by which the quality of research taking place in UK higher education institutions (HEIs) is assessed. The outcomes of the REF will be used by the Higher Education Funding Council for England (HEFCE) to determine the distribution of quality-related research funding to universities in England from 2015-16. The next assessment of research excellence will take place in 2014 (submission deadline 29 November 2013), the results of which will be published in December 2014.

HEFCE has issued guidance to all HEIs involved in preparing submissions to REF2014 of a mandatory requirement to develop, document and apply an institutional code of practice that frames decision-making processes in the context of the principles of equalities and diversity. This will assist the University in “including all their eligible staff in submissions who are conducting excellent research, as well as promoting equality, complying with legislation and avoiding discrimination” (see HEFCE document REF 02.2011). HEFCE requires that all procedures involving staff selection are transparent, consistent, accountable and inclusive. The resulting code of practice for LJMU reflects the University’s current legal responsibilities under The Equality Act 2010, including requirements placed on HEIs under the public sector equality duty of the Act, to have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it

This code of practice sets out the principles that will be applied to all aspects/stages of the staff selection process within LJMU for REF2014 which are in accord with HEFCE’s requirements. The processes resulting in the submissions made from LJMU to REF2014 will therefore be undertaken under the framework provided by this document, and in a consistent and transparent manner across the Institution.

Staff should note that neither inclusion into, nor exclusion from, submission to REF2014 will, in itself, be used for any other purposes in the Institution (in particular promotion) but may be used to advise on workload allocations.

PART 1. REF2014: STAFF ENGAGEMENT, CONSIDERATION & SELECTION

1.1. The Research Excellence Framework 2014: key facts

The REF is a single process of expert review across all disciplines. Thirty-six units of assessment (UOAs; 1-36) will each be assessed by an appropriate expert panel (sub-panel) under the guidance of four main panels (panels A-D). Sub-panels will assess three distinct elements of a submission:

- **Outputs:** the quality of up to four research outputs per each member of staff submitted in terms of their 'originality, significance and rigour' (weighted 65%)
- **Impact:** the 'reach and significance' of impacts that were underpinned by excellent research (weighted 20%)
- **Environment:** assessed in terms of its 'vitality and sustainability' (weighted 15%)

The overall assessment period runs from 1 January 2008 to 31 December 2013. In terms of assessment outcomes, an overall quality profile will be produced for each UOA submitted by an HEI, as well as sub-profiles for each of the three elements of assessment described above. The definitions of starred levels of activity for the overall quality profile and the outputs sub-profile are provided in Table 1 below.

A list of UOAs within each main panel can be found in Annex D of the 'Assessment framework and guidance on submissions' (REF 02.2011; <http://www.ref.ac.uk/pubs/>)

The predecessor to the REF was the Research Assessment Exercise (RAE); the UOAs returned by LJMU to the RAE in 2008 and the assessment outcomes can be found here: <http://www.ljmu.ac.uk/Research/97970.htm> (note the UOAs for REF2014 have been reconfigured although the quality ratings remain the same).

Table 1. Definitions of starred levels (overall quality profile and outputs sub-profile)	
Four star	Quality that is world-leading in terms of originality, significance and rigour
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence
Two star	Quality that is recognised internationally in terms of originality, significance and rigour
One star	Quality that is recognised nationally in terms of originality, significance and rigour
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment

1.2. Staff engagement

The University is committed to operating an inclusive approach to staff selection for REF2014 and will undertake a programme of communication activity to disseminate this Code of Practice and the process of staff selection.

A series of open staff briefings will be held at different sites across the University during March 2012. These have been designed to ensure that eligible staff¹ are aware of the University's REF strategy and processes, including the procedures for disclosure of individual circumstances that may have constrained a person's ability to produce four research outputs within the current REF period. LJMU's Diversity & Equality Advisor will be in attendance at all of the following briefing sessions:

Monday 19 March 2012, Tiered Lecture Theatre, IM Marsh, 12.30

Wednesday 21 March 2012, Johnson Foundation Auditorium, ADA, 12.30

Wednesday 28 March 2012, Peter Jost Upper Lecture Theatre, Byrom Street, 12.30

¹ Academic staff with a contract of employment of 0.2 FTE or greater, and on the payroll of LJMU on the census date of 31 October 2013, and whose primary employment function is to undertake either 'research only' or 'teaching and research'.

Additional staff briefings will be held in early summer 2013 to communicate up to date information concerning the University's intentions regarding REF2014, including the UOAs to be returned.

This code of practice will be made available on the University's staff intranet and cascaded by email to academic staff through School or Faculty structures. If, due to absence from work, eligible academic staff do not have the opportunity to receive or read this document or attend one/any of the organised briefing events, the University's Human Resources Department will issue a copy of the code of practice by post to their home address during March 2012. Absent eligible staff will be able to liaise with the relevant UOA co-ordinator² through their Human Resources Advisor regarding potential inclusion of their research outputs to REF2014. The University's REF Manager and Director of Research will deliver information presented at the briefing events on an individual basis to any staff as and when is necessary and/or requested.

1.3. Criteria for selection

All eligible staff will be able to put forward a case (via the appropriate UOA co-ordinator) for them to be considered for inclusion in an appropriate UOA for submission to REF2014. Staff will be required to provide a full and accurate record of activities within the reporting period (1 January 2008 to 31 December 2013), and supply copies of research outputs where these are not available in electronic format (note that research outputs will not be submitted to REF2014 unless a copy can be provided). In the case of non-standard outputs, other evidence may be accepted (e.g. catalogue of works at an exhibition, recording of music, play etc.). The University's research publication management system (Symplectic Elements) will be used to populate data for a 'mock' REF exercise / external review in the autumn/winter of 2012, and for REF2014 itself. Staff should therefore familiarise themselves with this software:

<http://www.ljmu.ac.uk/lea/102008.htm>. Furthermore:

- a) The selection of staff will be made primarily on the basis of the quality of the research outputs produced in the qualifying period of the REF. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for REF2014, namely originality, significance and rigour. Staff may be

² Each Unit of Assessment under consideration for submission to the REF will be co-ordinated by a member of LJMU academic staff; see section 2.2 for further information.

- asked to provide evidence as to the how their cited outputs relate to these quality measures (note that this information is only required by some UOA panels)
- b) The University will not submit any research output that it believes will be rated as unclassified in REF2014 (see Table 1). Furthermore, it will seek and apply professional judgement to have confidence that submitted outputs are at least of a quality that is recognised internationally i.e. 2*. In exceptional circumstances, the University Research and Scholarship Committee³ may consider submitting an individual's work which falls short of this threshold, but only where accompanied by outputs of the very highest level (i.e. the same individual **also** has two or three outputs considered to be of 3* or 4* quality). The Committee will explore the impact of this approach on the likely UOA and institutional quality profiles when considering such cases, and take into consideration the size of a potential submission and any individual staff circumstances as outlined below [see point d) and section 1.4]. Additional information about the application of differential quality thresholds that may apply to individual UOAs is provided in section 2.1
 - c) In certain UOAs, as specified in REF panel criteria and working methods, the University may use journal ranking lists, impact factors and citation indices as an indicator of the academic impact of the outputs to inform its assessment of the quality of a research output. However, 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 REF2014 assessment criteria, namely originality, significance and rigour
 - d) Submission of four research outputs will be expected from all staff submitted to REF2014, except where it is agreed that individual circumstances have prevented the publication of four outputs of the desired quality (see section 1.4). Nevertheless, the overriding factor will remain the quality of the research output, so that, for example, a member of staff who is new to research (see Tables 2 and 3) and who has two outputs that are determined to be of high quality may be

³ See section 2.1; the University Research and Scholarship Committee is responsible making for decisions about which Units of Assessment and members of staff are submitted to REF2014

- submitted, whilst another early career researcher (ECR) with three or four outputs deemed to fall short of the University's quality threshold of 2* may not
- e) The rationale for monographs or 'super-books' to be included as double-weighted outputs in any UOA submission may be made by the author. Staff should liaise with the appropriate UOA co-ordinator in the first instance should they wish to put forward a case for consideration. The University will only submit such outputs when it has full confidence that the REF sub-panel will consider the selected output to be accepted as such due to its volume and/or significance. External expertise will be sought where possible to advise on such outputs
 - f) The REF2014 panel criteria state that some panels will accept submission of duplicate research outputs within a single UOA. However, this will only be permitted under exceptional circumstances for highly profound pieces of research work. It is recognised that where dual submission is not permitted it may necessitate the selection of, for example, only one member of staff from two or more sharing the same outputs. In such cases, the University Research and Scholarship Committee will take into account the wider contribution of the members of staff to the submission (e.g. contribution to research environment and esteem measures). This will be done in such a way so as not to disadvantage staff due to the individual circumstances listed below (section 1.4)
 - g) Selection of research outputs will be made through a transparent and consultative process as described in Part 2 below. Similarly, submitted staff should be given an opportunity to comment upon the draft textual narratives of submissions, for example concerning the research environment and esteem, and can do so through their UOA co-ordinator

1.4. Individual staff circumstances

Up to four research outputs must be listed against each member of staff included in the submission. Individuals may be returned to REF2014 with fewer than four outputs where their circumstances have significantly compromised their ability to produce four outputs or to work productively throughout the assessment period. Clearly defined circumstances that will be taken into consideration are listed in Table 2; the number of outputs that may be reduced for early career researchers and individuals with other clearly defined circumstances are provided in Tables 3 and 4.

The following will **not** be eligible to be returned as an ECR: staff who first acted as an independent researcher while at a previous employer before 1 August 2009 with a contract of 0.2 FTE or greater; staff returning from a career break who first acted as an independent researcher before 1 August 2009; research assistants - unless they are named as a PI or equivalent on/by the census date of 31 October 2013. Please refer to document REF 02.2011 for further information.

Table 2. Clearly defined individual staff circumstances	
Part-time working	Where the contract of employment is 0.2 FTE or greater
Maternity, paternity or adoption leave	Maternity, paternity or adoption leave-related constraints in addition to the period of maternity, paternity or adoption-leave itself are discussed in Table 5
Secondments or career breaks	Outside of the higher education sector, and in which the individual did not undertake academic research
Qualifying as an early career researcher (ECR)	Staff starting their research career with a contract of employment (0.2 FTE or greater) on or after 1 August 2009 that includes a primary function of undertaking 'research' or 'teaching and research' and who undertook independent research, leading or acting as principal investigator (PI) or equivalent on a research grant or significant piece of research

Table 3. ECRs: Number of outputs that may be reduced without penalty	
Date first met definition of an ECR	Number of outputs may be <i>reduced</i> by up to:
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after August 2011	3

Table 4. Part-time working, secondments or career breaks [†] : Number of outputs that may be reduced without penalty	
Total absence (months) over the period 1 January 2008 to 31 October 2013	Number of outputs may be <i>reduced</i> by up to:
0 – 11.99	0
12 – 27.99	1
28 – 45.99	2
46 or more	3

[†] outside of the higher education sector, and in which no academic research was undertaken

Circumstances that are more complex require a judgement to be made about the appropriate number of outputs that can be reduced without penalty are listed in Table 5. For each member of staff returned to REF2014 with fewer than four outputs, the University must supply verifiable evidence in relation to the nature of either clearly defined or complex circumstances (or a mixture of both). This information will be treated as confidential and will be used only for the purposes of assessing the REF submission. It will not be published and will be destroyed on completion of the REF.

It should be noted that disclosure of individual staff circumstances may not necessarily result in inclusion in the REF submission; see section 1.3 (Criteria for selection).

In order for staff to be able to disclose their circumstances with an appropriate degree of confidentiality this process will be managed centrally by LJMU Human Resources Department. All staff potentially eligible for selection in REF2014 will receive, and where appropriate, complete and return a template to communicate details about any individual circumstances that may have significantly compromised their ability to produce four outputs or to work productively throughout the assessment period. The mechanism by which the University will take this information into account is described in section 2.4. The template and appropriate accompanying material will be sent by post to the home address of any staff absent from work by LJMU Human Resources staff at the same time as the template is circulated internally within LJMU during the first quarter of 2013.

Staff with clearly-defined circumstances for whom there is clarity regarding the appropriate reduction in outputs that may be submitted without penalty (ECR, non-complex maternity considerations) may, if they wish to, discuss their position with the appropriate UOA co-ordinator, the University's REF Manager or Director of Research during 2012/ahead of formal circulation of the disclosure template (see Contacts at the end of this document). In such cases, this may influence the number of outputs put forward for the 'mock' / external REF review for their particular UOA during autumn/winter 2012. Staff should not in any way feel obliged to disclose the nature of any more complex circumstances during 2012, but should follow the process of disclosure as outlined above in the spring of 2013.

Table 5. More complex individual staff circumstances

Disability	Including but not limited to: <ul style="list-style-type: none">- impairments caused by injury to the brain or body; eating disorders and depression;- autistic spectrum disorders and dyslexia;- respiratory conditions and cardiovascular disease;- progressive impairments such as motor neurone disease, muscular dystrophy, HIV and cancer- impairments with fluctuating or recurring or fluctuating effects such as rheumatoid arthritis, depression, epilepsy- sensory impairments
Ill-health or injury	See also disability above
Mental health conditions	See also disability above
Constraints related to pregnancy or maternity	Including, but not limited to: <ul style="list-style-type: none">- medical issues with pregnancy or maternity;- health and safety restrictions in laboratory or field work during breastfeeding or pregnancy;- constraints on the ability to travel to undertake fieldwork due to pregnancy or breastfeeding
Childcare or other caring responsibilities	Including but not limited to: <ul style="list-style-type: none">- parents and adoptive parents of children aged 16 and under or disabled children under the age of 18;- those staff who have caring responsibilities for adult relatives
Gender reassignment	The number of research outputs submitted may be reduced to reflect the lengthy and often difficult transition period of staff who have undergone gender reassignment
Other circumstances	i.e. relating to the protected characteristics not already listed above such as age, marriage and civil partnership, race, religion or belief, sex, sexual orientation

1.5. Fixed-term and part-time staff

Under the fixed-term and part-time workers regulations, fixed-term employees and part-time workers have the right not to be treated by an employer any less favourably than the employer treats comparable employees on open contracts or full-time workers. As such, all eligible staff (see footnote on page four of this document) will be considered for REF2014 regardless of contract length or employment status.

1.6. Feedback

Eligible academic staff not selected for submission in a particular UOA may request feedback from the University's Director of Research (or his/her nominee) during the spring and summer of 2013. Feedback will be informed by the outcome of the planned external reviews of each UOA under consideration for submission, including relevant information regarding the quality of the research outputs proposed for inclusion (i.e. whether outputs meet the quality threshold set by the University), and other influencing factors as appropriate. Good communication between academic staff and those individuals and groups responsible for developing the University's REF submission will minimise highly formal requests for feedback, and appeals (below).

1.7. Appeals

Eligible academic staff not selected for inclusion in a particular UOA may appeal against this decision after they have received feedback covering the reason/s for this decision (section 1.6). Appeals will only be considered in cases of non-submission of staff to REF2014 where due account has not been taken of a staff member's (a) individual circumstances, or (b) protected characteristics (race, gender or disability etc.) outlined in section 1.4, including instances where due process as described in this code of practice has not been followed. Where dispute arises, advice from LJMU's Director of Legal and Governance Services will be sought.

Appeals will not be considered on the grounds of professional judgement, including the assessment of the quality of research outputs.

Appeals can be submitted up to 31 January 2014 and should be made in writing to:

Alison Wild
University Secretary & Deputy Chief Executive
Egerton Court
2 Rodney Street
Liverpool, L3 5UX

PART 2: REF-RELATED ROLES, RESPONSIBILITIES & PROCESSES WITHIN LJMU

This code of practice is required to document very clearly the procedures for identifying staff designated with REF-related roles and responsibilities, and the terms of reference for any committees that are involved in selecting staff for inclusion in REF2014. The following information defines the University's decision-making processes and identifies the parties involved in these processes at a number of levels.

2.1. Roles and responsibilities: University Research and Scholarship Committee

The institutional strategy governing LJMU's submission to REF2014, including decisions on which UOAs are to be submitted will be overseen by the University Research and Scholarship Committee. This group will have overall responsibility for the institutional submission to REF2014, in line with their familiarity with research agendas and strategies across the University and the higher education sector. In accord with its terms of reference, this group is ultimately responsible for the management of the submission of all UOAs to REF2014 as well as UOA composition, including the selection of staff. LJMU's Diversity & Equality Advisor will be co-opted to the University Research and Scholarship Committee for dedicated meetings and discussions concerning REF2014 staff selection.

The decisions of the University Research and Scholarship Committee shall subsequently be considered and ratified by the University's Strategic Management Team (SMT), chaired by LJMU's Vice-Chancellor.

The University Research and Scholarship Committee may choose not to submit to a particular UOA on the grounds of lack of evidence indicating an appropriate research quality profile and the potential negative effect that a poor submission may have on the Institution's reputation. Information used to inform such decisions may include any one or a combination of the following: research outputs, draft impact case studies, research income, research students and other research staff, and lack of critical mass appropriate to the discipline. Such decisions will also take into account the wider impact of non-submission on a school, faculty or the University.

The University recognises the need to encourage and reward staff conducting research in emerging areas of LJMU, whilst at the same time maximising the REF return from its highly research-intensive 'flagship' UOAs. The University Research and Scholarship Committee may, therefore, apply a differential or tiered approach to the quality of research outputs submitted to those UOAs that it intends to submit to REF2014⁴. By way of example, in areas where strategic investment in capability development is being demonstrated (i.e. a UOA not previously submitted to a research assessment exercise by LJMU), the quality threshold as outlined in section 1.3 b) shall generally apply. In UOAs with a track record in conducting world-leading and internationally-excellent research, the threshold may be set such that outputs are of at least quality, that is internationally excellent in terms of originality, significance and rigour (3*). The University Research and Scholarship Committee shall make clear of any such intention to apply a differential threshold early in 2013 and inform eligible academic staff within any UOAs in which this may apply.

2.2. Roles and Responsibilities: UOA co-ordinators

Each UOA under consideration for submission will be co-ordinated by a member of academic staff who will have a crucial role in informing decision-making during the REF period (a full list of UOA co-ordinators appears at the end of this document). These co-ordinators have been selected by an open process/call for nominations in November 2011, with approval ratified by the University's Research and Scholarship Committee. Where appropriate, the selection process took account of significant cross-faculty or cross-school involvement in a UOA. All appointments as UOA co-ordinator have the approval of the Director of School or Dean, as appropriate. This process ensured that UOA co-ordinators:

- a) are familiar with the Research Assessment Exercise/REF process;
- b) are experienced researchers with an understanding and appreciation of the meaning of quality (as defined by the REF2014 documentation in terms of rigour, originality and significance);
- c) are familiar with the administrative processes associated with research in LJMU (e.g. finance and research degrees processes); and

⁴ LJMU is required to notify HEFCE of which UOAs it intends to make submissions in by December 2012

- d) have undertaken the University-wide Diversity in the Workplace e-learning training module which is mandatory for all staff

UOA co-ordinators are responsible for liaising with staff, preparing/editing the textual commentary for the submission, the impact template and case studies, appointment of external assessors and (with others) collating and checking of information appropriate to the planned submission (including finance data and postgraduate research student data). Co-ordinators must keep the Director of School (where appropriate) and/or the Dean of Faculty, informed of key decisions at all times. UOA co-ordinators will, with others, be involved in discussions regarding the selection of research outputs to be included in a submission, but will not be responsible for decisions about individual staff (except where a UOA co-ordinator is also a member of the University Research and Scholarship Committee).

Whilst it is expected that in most cases, the staff submitted to a UOA will reside within the same academic school as the co-ordinator, where this is not the case, the UOA co-ordinator has a special responsibility to fully engage with staff in other schools and faculties during the preparation of the submission. The co-ordinator will also act as the main contact point between the UOA, the University's REF Manager, the University's Director of Research and central administrative staff (Research & Innovation Services, Finance and Human Resources), and will normally be expected to have local administrative support appropriate to the preparation of the submission. All UOA co-ordinators will be expected to attend regular University REF2014 planning meetings in advance of the submission.

UOA co-ordinators are ultimately required to prepare material in relation to:

- a) the case for submission by the University to a specific UOA (by March 2013), and
- b) make recommendations concerning the research outputs to be included within a UOA submission to REF2014 (by 31 October 2013), and
- c) prepare textual elements of the UOA submission (ahead of 29 November 2013).

It is good practice for such materials to be developed in consultation with others (see section 2.3 below), including staff eligible for inclusion in REF2014. The University's

REF Manager shall present such information on behalf of UOA co-ordinators to the University Research and Scholarship Committee for their consideration.

2.3. Wider engagement for REF2014

2.3.1. Working Groups

Some faculties may wish to convene a REF2014 working group to advise and support UOA co-ordinators as they develop submissions within cognate areas, and/or to provide a strategic steer to a specific element of submissions (for example, the research environment template) where such functions are not already fulfilled by an existing research committee. Furthermore, in UOAs that involve a significant number of staff from other faculties it is good practice to include representation from these other areas. These working groups however, will have no formal decision-making function with regards to the selection of UOAs to be submitted by the University, or the selection of individual members of staff to REF2014, which shall be the responsibility of the University Research and Scholarship Committee (section 2.1).

2.3.2 External Advisors

The University will also make use of experienced external assessors for all UOAs that it is seeking to submit to REF2014. It will do so in order to be informed of the viability of a UOA submission and its potential composition. Assessors will primarily provide advice on the quality of individual research outputs (i.e. whether outputs meet the quality threshold set by the University), but may wish to be informed as to whether there is a valid reason for a reduced volume of output (i.e. where fewer than four outputs are listed for an individual). In such an instance, the UOA co-ordinator can advise that he/she is aware of clearly defined individual circumstances that have been disclosed (see Table 2, section 1.4) and which have affected the level of research activity undertaken. However, full details of such circumstances will not be given (see Table 6 below). Similarly, if external assessors continue to review draft submissions during 2013 once staff have had the opportunity to disclose more complex, as well as clearly defined circumstances, they will not be provided with any details concerning the nature of the disclosure, just the REF Disclosure sub-group recommendation concerning the number of outputs that may be reduced without penalty for a specific individual (see section 2.4 below).

2.4. Consideration of individual staff circumstances

Decisions on whether the stated personal circumstances are valid as defined in REF2014 will be made by a dedicated sub-group of the University Research and Scholarship Committee (the REF Disclosure sub-group). Importantly, this group will also make recommendations to the University Research and Scholarship Committee as to the appropriate reduction in the number of outputs for particular circumstances. The group will comprise of: Moni Akinsanya, LJMU Diversity & Equality Adviser; Dr Diana Leighton LJMU REF Manager; and Prof. Andrew Young, LJMU Director of Research.

Information concerning individual staff circumstances submitted to the University's Human Resources Department will be treated as confidential with restricted circulation on a strictly need-to-know basis. Information relating to clearly defined individual staff circumstances will be handled differently to information about more complex circumstances on the basis that it is likely to be highly personal; this is highlighted in Table 6.

To clarify, when considering complex individual staff circumstances, the REF Disclosure sub-group will conduct its business without reference to the name of the individual who has submitted the information. Only LJMU's Diversity & Equality Advisor will be able to identify the member of staff. However, in the event of an appeal by a member of staff who has disclosed complex circumstances, such information may need to be shared with any other personnel investigating the case.

The decisions of the REF Disclosure sub-group will be presented to the University Research and Scholarship Committee (URSC) for approval. LJMU's Diversity & Equality Advisor will be in attendance at such times, to respond to any queries the Committee may have regarding the decision making process, and to ensure confidentiality is maintained.

The REF panels themselves have received specific guidance in the form of an equality briefing <http://www.hefce.ac.uk/research/ref/pubs/other/equality/> which summarises the legislative context for the REF, as well as the arrangements that will be applied consistently in all UOAs.

Table 6. Disclosure and handling of information about individual staff circumstances

To whom information is made available	Clearly-defined circumstances		Complex staff circumstances	
	Nature/type (e.g. ECR, maternity)	Will information be anonymised?	Nature/type	Will information be anonymised?
External assessor	x	N/A	Not disclosed	
UOA Co-ordinator	✓	x	x	✓
URSC	✓	x	x	✓
Disclosure sub-group	✓	x	✓	✓
Diversity & Equality Advisor	✓	x	✓	x

2.5. Staff development for equality & diversity

All staff with responsibility for selecting individuals for inclusion in REF2014 will be required to attend equality and diversity training which has been specifically tailored to the REF processes (members of SMT, the University Research and Scholarship Committee and its REF Disclosure sub-group). This specialised training is in addition to the Diversity in the Workplace training that is compulsory for all staff in the University. The training will be delivered in the context of the Equality Act 2010 by LJMU's Diversity & Equality Adviser, and will incorporate guidance and case studies supplied by the Equality Challenge Unit (ECU) which will be available from April 2012. Specific examples of complex individual staff circumstances will be considered during this training, in order for relevant University staff to make sound judgements about the appropriate reduction in outputs for particular circumstances.

It is deemed good practice for those individuals involved in the selection of research outputs to the REF (as opposed to the selection of staff) to also understand their role in the context of equality. Therefore, equality training will be mandatory for UOA co-ordinators and members of any REF-related committees at Faculty level. Training will be delivered by September 2012, ahead of preparations for 'mock' REF / external review of UOAs between October 2012 and March 2013.

2.6. Monitoring of submissions

LJMU will conduct an Equality Impact Assessment (Equality Analysis) on the approach outlined in this code of practice and the procedures for selecting staff in the REF, to ensure that these do not pose a barrier to eligible staff from a particular group. The University will review its Equality Impact Assessment at key points ahead of submission: the identification of staff to be included in the external review of all UOAs in autumn/winter 2012; when considering any appeals; when preparing the final submission. LJMU will report its Equality Impact Assessment findings in a document that will be published on the Research & Innovation Services web pages after submissions to REF2014 have been made (the closing date for submission is 29 November 2013). Further information and materials have been prepared by the Equality Challenge Unit, see link at the end of this document.

With the approval of the University's Vice Chancellor, LJMU is required to submit its code of practice to the national REF team; it will do this before or on 27 April 2012. All codes of practice will be examined by the Equality and Diversity Advisory Panel on behalf of the REF team to ensure that they meet specified requirements, and will be published as part of institutions' submissions after the conclusion of the REF.

Additionally, the Higher Education Statistics Agency will publish data about the volume (FTE) of staff eligible to be submitted to REF2014, disaggregated by UOA. These data will be drawn from the HESA Staff Record 2013/14.

Further information

Higher Education Funding Council for England (HEFCE) www.hefce.ac.uk

REF2014 <http://www.ref.ac.uk/>

REF Publications <http://www.ref.ac.uk/pubs/>:

Assessment framework and guidance on submissions REF02.2011

Panel criteria and working methods REF01.2012

Equality Briefing for panels, including a summary of equalities legislation (July 2011)

Equality Challenge Unit <http://www.ecu.ac.uk/our-projects/REF>

Higher Education Statistics Agency (HESA) <http://www.hesa.ac.uk/>

LJMU Contacts

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Units of Assessment under consideration for submission by LJMU with named UOA co-ordinator:

UOA	Title	LJMU Co-ordinator
2	Public Health, Health Services and Primary Care	Jim McVeigh
3	Allied Health Professions, Dentistry, Nursing & Pharmacy	Dr Gillian Hutcheon
4	Psychology, Psychiatry & Neurosciences	Dr Stephen Fairclough
9	Physics	Professor Dave Carter
11	Computer Science & Informatics	Professor Qi Shi
12	Aeronautical, Mechanical, Chemical & Manufacturing Engineering	Professor Jin Wang
13	Electrical & Electronic Engineering, Metallurgy & Materials	Professor Emil Levi
15	General Engineering	Professor Dave Burton
16	Architecture, Built Environment & Planning	Professor Ahmed Al Shamma'a
17	Geography, Environment Studies & Archaeology	Professor Richard Brown
19	Business & Management Studies	Dr Bob McClelland
20	Law	Dr Carlo Panara
22	Social Work & Social Policy	Dr Janet Jamieson
24	Anthropology & Development Studies	Dr Laura Bishop
25	Education	Professor Marion Jones
26	Sport & Exercise Sciences, Leisure & Tourism	Professor Keith George
29	English Literature & Language	Professor Glenda Norquay
30	History	Dr Tony Webster superseded by Professor Nick White (September 2013)
34	Art & Design: History, Practice & Theory	Professor Julie Sheldon
36	Communication, Cultural & Media Studies, Library & Information Management	Professor Chris Frost superseded by Dr Rachel McLean (May 2013)