

Liverpool Hope University
Research and Scholarship Development Plan
2014-2020

Approved by

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Replaces Research and Scholarship Development Plan
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Vision and Goals

Preamble

Liverpool Hope University is guided by its academics and their scholarly vision. At Hope, academic departments are led by accomplished scholars from across the world, creating and deepening a culture of research and teaching, where enquiry is nurtured and celebrated.

After achieving University status in 2005 and Research Degree Awarding Powers in 2009, Liverpool Hope University has been steadily repositioning itself, strengthening its research at the same time as enhancing its excellence in teaching and student support. Hope is a vibrant community with high scholarly standards - proud of its past, confident in the present, and ambitious for the future. Research is central to curriculum development and enhancement at Hope, and all academic staff at the University engage in research. The University is now preparing for the 2020 REF and strengthening even further its research degree programme. Hope is also committed to fostering the impact of its research activities beyond the scope of academia, in keeping with its long history as a community-focused institution and working with the professions. Hope would expect the impact of its research to be a positive force for change. This developing research excellence builds upon and complements an already well established reputation for excellence in learning and teaching. Hope's policy is to combine these elements in keeping with the University's stated academic profile as a research-informed University of distinction.

The definitions for 'research', 'scholarship', 'knowledge exchange', 'impact' and 'public engagement' underpinning the University's strategy can be found at [Appendix A](#).

Vision

The Corporate Plan commits the institution to pursuit of a path of academic excellence in which all Departments shall have research recognized internationally as excellent. The University seeks to be a generator of new knowledge and ideas in order to be a natural epicentre for research; it is consciously an international academic community appointing the best scholars it can recruit from anywhere in the world to form and lead its academic

departments. The University seeks to extend its national and international collaborations with institutions and academics, especially its global network of partnership with institutions that share its mission and values; this network fosters opportunities for research, collaboration and internationalisation. In keeping with its mission statement, Hope also strives for impact beyond academic circles and “to contribute to the educational, religious, cultural, social and economic life of Liverpool, Merseyside, the North-West and beyond.” Thus, Hope seeks for the impact of its research to have local, national and international reach and significance.

Strategic Goals

Research culture

- foster an inclusive, stimulating, and sustainable research culture and environment, characterized by externality and internationalism, in which research and research support staff are nurtured, facilitated and rewarded;
- achieve agreed thresholds of research and scholarly activity in all subject areas to meet REF targets, support teaching, and enhance our reputation and competitiveness;
- develop or establish appropriate research clusters that contribute substantially to research activity through providing leadership, thematic synergies, a networked context for PGR students and staff, and which can act as hubs for the building and enhancement of research culture.
- support the achievement of research excellence through focused growth, collaboration and development of interdisciplinary, multidisciplinary and collaborative research both within and beyond the institution;
- promote the effective communication and dissemination of research results, within and beyond academic circles, including through optimised development of the Liverpool Hope Repository.

Research income

- continue to enhance the culture and research base to generate increasing levels of external income for the growth and support of research and scholarly activity;

- cultivate research excellence through targeted investment in selected areas of research and effective use of research and scholarly resources, both monetary and infrastructural.

PGR

- generate quality-assured growth in postgraduate research numbers and completions, attracting high-calibre candidates in areas of research expertise and supervisory capacity;
- offer an excellent postgraduate experience, providing support and training in accordance with the Researcher Development Framework, and integrating the PGR body into the broader research culture of the institution.

Impact

- develop and foster research areas that make a significant impact beyond academic circles; this includes through knowledge exchange, practice-oriented research applications, enterprise activities and working with the community, public sector, businesses and industry;
- cultivate sustained engagement of users/beneficiaries, participating in appropriate networks and partnerships.

Leadership

- continue to strengthen the leadership of research, impact, knowledge exchange, and scholarly activity;
- increase our support infrastructure for research and scholarship by further developing the proactive role of research and development services;
- manage work distributions effectively in order to embed research and scholarly activity into core expectations.

Integrity

- maintain the highest standards of ethics, rigour and integrity in all aspects of research.

The operational framework for achieving these strategic goals can be found at [Appendix C](#).

Key Performance Indicators

The University has established the following goal for REF 2020:

- at least 75% of staff should be enterable according to the REF 2014 criteria, and 50% of this research should be at 3* or above.

To achieve this, the faculties' overall target profiles are:

Arts and Humanities

FACULTY'S OVERALL TARGET PROFILE					
	Faculty's overall quality profile				
Quality level	4*	3*	2*	1*	U/C
% of research	20	60	20	0	0
100					

Education

FACULTY'S OVERALL TARGET PROFILE					
	Faculty's overall quality profile				
Quality level	4*	3*	2*	1*	U/C
% of research	10	60	30	0	0
100					

Sciences

FACULTY'S OVERALL TARGET PROFILE					
	Faculty's overall quality profile				
Quality level	4*	3*	2*	1*	U/C
% of research	10	70	20	0	0
100					

University Framework

Research Informed Teaching

Liverpool Hope University lays emphasis on research-informed teaching. Teaching is and will remain the core activity; it is also the primary income generator. Research and scholarship are also a fundamental part of any academic institution's life. Valuable in its own right for its contribution to the advancement of knowledge, without it the pool of teaching activity will stagnate. A core principle of the Learning, Teaching and Enhancement Strategy 2013-2016 is for the curriculum to be informed and influenced by current research; in keeping with this, a key tenet of the Integrated Curriculum framework governing undergraduate provision is to ensure that teaching is research informed. Hope places emphasis both on learning, teaching, care of students and enhancement of student experience, and on the development of excellence in research. It conceives these as complementary activities in a rounded academic institution, in keeping with its integrated vision of high quality academic pursuit.

All members of staff are expected to engage in research and scholarship, demonstrate that they are keeping up-to-date with the field in which they work and have an up-to-date understanding of best pedagogical practice. Provision is made for research and scholarship in staff allocation policies (see <http://www.hope.ac.uk/gateway/staff/policiesandprocedures/>). In order to put into practice the vision for research-informed teaching at Liverpool Hope, the University seeks to ensure that courses are taught by those in whose area of expertise they fall, with the clear expectation that courses at Level I and particularly at Level H are taught by those actively engaged in scholarship and increasingly also in research in the subject area. Level M courses should be taught by staff who are active researchers with specialism in the area.

The normal expectation for Level M is that they are taught by staff who either have or are currently engaged in doing a PhD or who in other ways can demonstrate an equivalent research-level engagement with the discipline.

Research supervision (MPhil and PhD) will be undertaken only by those who are active researchers in the area in which the dissertation or thesis falls. This may mean that the

University will have to turn away potentially strong research students in areas where no supervision can be provided at the level required. Liverpool Hope will not under any circumstances admit research students unless it is clear that the necessary subject expertise is in place. The research degree supervisor forms spell this out in detail.

REF

The significance of the REF in terms of income, external peer review and internal/external benchmarking mean it is an important feature in Hope's research planning. However, it should be noted that Hope's research culture and aspirations are wider and deeper than REF considerations and rooted in its own mission priorities. The institution's goal is to develop excellent research across its range of activities.

Liverpool Hope entered 54.02% of FTE staff into REF 2014, with a headcount of 121; this is twice the submission for RAE 2008. Primary criteria were that all potential entries should be subject to independent external review and judged to merit at least a 2* (that is, international excellence) on the REF scale.

Other notable features include:

- The University submitted in twelve units¹, notably for the first time in Geography and Sport;
- 40% of the submission consisted of Early Career Researchers (ECR);
- The faculty-wise split was as follows: Arts and Humanities had the major share of the University's submission at 56.43%. Education's share was 10.85% of the total, and

¹ The University has submissions in 12 Units of Assessment, namely:

1. Psychology, Psychiatry and Neuroscience (A4)
2. Computer Science and Informatics (B11)
3. Geography, Environmental Studies and Archaeology (C17)
4. Politics and International Studies (C21)
5. Social Work and Social Policy (C22)
6. Education (C25)
7. Sport and Exercise Sciences, Leisure and Tourism (C26)
8. English Language and Literature (D29)
9. History (D30)
10. Theology and Religious Studies (D33)
11. Music (D35)
12. Drama, Dance and Performing Arts (D35)

the Sciences and Social Sciences Faculty comprised 32.73% of the University's overall entry.

As stated, the University has now set itself the goal that, by REF 2020, 75% of staff should be enterable according to the REF 2014 criteria, and that 50% of this research should be at 3* or above. This reflects the rapidly developing research profile and aspirations of the institution. To this end, the University has set Faculty-specific minimum targets based on projections to meet the new REF target, taking into account the Faculty reconfigurations of 2014:

Arts & Humanities	80%
Education	75%
Sciences	80%

The faculties' overall target profiles are:

Arts and Humanities

FACULTY'S OVERALL TARGET PROFILE					
	Faculty's overall quality profile				
Quality level	4*	3*	2*	1*	U/C
% of research	20	60	20	0	0
100					

Education

FACULTY'S OVERALL TARGET PROFILE					
	Faculty's overall quality profile				
Quality level	4*	3*	2*	1*	U/C
% of research	10	60	30	0	0
100					

Sciences

FACULTY'S OVERALL TARGET PROFILE					
	Faculty's overall quality profile				
Quality level	4*	3*	2*	1*	U/C
% of research	10	70	20	0	0
100					

The University is to undertake a biennial review of its research portfolio, which will include ongoing assessment of its development in relation to entry into REF 2020, including impact (see subsequent section).

A significant strategic development in the build-up to REF 2014 was the establishment of the REF Steering Group, which will continue in operation as a permanent sub-committee of Research Committee with a remit to prepare the University for REF 2020. Key roles are:

- Keeping the University fully informed on the way in which the REF will operate across the various disciplines. This will include regular updates to the senior academic leaders across the University (Rectorate, Deans and Heads of Department).
- Deciding which Units of Assessment (UoAs) will be submitted to the REF based on quantitative data (research income, outputs and case studies) and qualitative data (internal and external peer review on the quality of the UoA).
- Pro-actively planning submissions: it will, for example, advise on strategy (recruitment of PhD students, creation of institutional and Faculty research structures, actively seek out staff who need encouragement and/or support to complete work in time for submission and advise on areas where resources should be targeted). Recommending the appointment of external UoA advisors. These persons should be research leaders at other UK Universities who have significant experience of the RAE/REF process.
- Reading and approving any documentation that is prepared as part of the REF process e.g. the Code of Practice on the Fair and Transparent Selection of Staff, Equality Analysis and, institutional REF narrative.

The University is committed to equality and transparency. REF 2014 was governed by Hope's Code of Practice for the Fair and Transparent Selection of Staff (see <http://www.hope.ac.uk/gateway/research/researchexcellenceframework/internaldocuments/>), and future REF entries will be governed by similar principles in line with best practice and legal frameworks.

Staffing

A report for the Department for Business, Innovation and Skills in March 2014 found that the activities supporting the ‘recruitment, development and motivation of researchers are critical drivers of research excellence’²; Hope fully concurs with this view and places its staff at the heart of its vision. Attracting, developing and retaining high quality and committed staff members is of the greatest importance.

Leadership: Liverpool Hope has for some time been actively engaged in appointing senior researchers through recruitment or promotion to provide research leadership and mentoring. It has already made very significant progress towards providing academic leadership in all faculties through the appointment, by external recruitment and internal promotion, of staff at Associate Professorial or Professorial level to head Departments. This is acknowledged as pivotal to the development of a strong and robust research culture. The institution intends to continue its policy of strengthening the team of academic research leaders. Further, it has the stated strategic goal of developing more explicit policies and development opportunities relating to effective research leadership.

Recruitment: See <http://www.hope.ac.uk/gateway/staff/policiesandprocedures> for the general Recruitment and Selection policy. It is already the case that all new members of the Hope academic team are expected to be active researchers and, except in a few targeted vocational training areas, to be in possession of a PhD. The University shall continue judiciously to appoint scholars who can consistently enhance its academic profile as a community of scholarship and contribute to the development of a strong research culture. The PVC (Academic) has the primary responsibility for academic staff recruitment and will be involved in all appointments at Senior Lecturer level and above. Liverpool Hope already has a clear policy of not simply appointing the best candidate from those who have applied for a post. Over and above the normal route of advertisement the University will continue to look for the very best candidates we can attract even in the form of academic searches. It is accepted that this policy may consequently mean leaving posts vacant for a period and making temporary arrangements to fill the gap.

² Economic Insight, *Growing the Best and the Brightest: the Drivers of Research Excellence* (March 2014), p. 4.

Role Profiles: Research and scholarship are in the Role Profiles for all academic staff at Liverpool Hope from grade seven to grade ten (the level and extent is of course relative to the grade itself; see <http://www.hope.ac.uk/gateway/staff/policiesandprocedures/> for the Research Activity and Role Profiles Policy). Research and Scholarship are hence firmly embedded in the core contractual documents and are required of all academic staff.

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

Mentoring and the provision of academic leadership are particularly important for early- and mid-career researchers, and Hope seeks to ensure that all staff are able to benefit from this; as above, the appointment of senior research staff across the disciplines is a key aspect of this strategy. Mentoring and academic leadership may be provided formally (as with postdoctoral appointments) or informally; Hope is also committed to fostering a collegial environment in which informal interchanges between staff are encouraged and facilitated. Experienced researchers, particularly the Professoriate, are normally expected to be actively involved in supporting, mentoring and encouraging both new members of staff and other developing researchers. The appointment of Visiting and Adjunct Professors (see below) is an important aspect of this strategy.

Development is in part facilitated through the performance review system, which is designed to identify areas for academic development and facilitate such. Staff development is also very clearly linked to the University's promotions procedures and policies, which again are designed to encourage and reward staff who assist in the corporate task of meeting the University's clearly stated objectives. Where appropriate this may include seeking to facilitate staff who wish to undertake a PhD or EdD. Applications for the funding of PhDs/EdDs should be made to the PVC (Academic). All such applications must be supported

by the relevant Head of Department and Dean.³ If approved, Hope will cover the fees and seek to ensure that staff have some further space in their timetable to undertake the qualification beyond the four weeks of research and scholarly activity time that is already in their contracts. The PVC (Academic) will also be responsible for other development of staff, through the allocation of funds to research funds, some of which may be used to enable active conference attendance, the convening of colloquia and conferences, and other research-related developmental activities.

Promotions: Liverpool Hope has in place a promotions policy for promotion to Senior Lecturer, Associate Professor, Principal Lecturer and Professor. This policy is designed to encourage and reward those who are able to show an all-round high-level contribution to the University. Part of this contribution is through research and scholarly activity. The promotions documentation clearly indicates what is required for promotion.

In developing two Grade 9 academic posts (Associate Professor and Principal Lecturer), the University has put into practice its stated commitment to both teaching and research excellence. As is clear in the documentation, while competence in both teaching and research are required of all Grade 9 staff, an Associate Professor excels in research while a Principal Lecturer excels in teaching and learning. Both require leadership of colleagues.

It is an underlying principle of the promotions policies that staff are not promoted simply for undertaking well the duties associated with their current grade. Signs of excellence must exist. It is an underlying principle too that staff who volunteer, and show a willingness and ability, to go beyond what is required at each level will have the opportunity to be promoted, and that the opportunity will come round regularly (yearly in the case of SL, biennially in the case of Associate Professor, Principal Lecturer and Professor). Hope wishes to attract and retain good staff and will seek to ensure that career development is available within the institution. Similarly, Hope will seek to make it possible for staff to develop in ways that allow for the criteria for promotion to be met, for example, by the funding of research activity and the running of learning and teaching development programmes; it is then for staff to take advantage of such opportunities and to carry out activities that will or can lead to promotion.

³ Here, as elsewhere, should a member of staff believe that he or she is being disadvantaged or unfairly treated in not being able to secure the support of the HOD/Dean, this should be brought to the attention of the Director of Personnel.

In summary, the promotions structure may be illustrated thus (though note that while Hope has only one Professor grade, for which international research is essential, one role profile for that grade and one promotions document, principal lecturers [and indeed staff on any grade] are eligible to apply for promotion to professor and if the criteria are met, promotion will be recommended).

Learning and Teaching Intensive Track	Lecturer	Senior Lecturer	Principal Lecturer	
Research Intensive Track	Lecturer	Senior Lecturer	Associate Professor	Professor

In broad terms this maps on to HERA as follows

Learning and Teaching Intensive Track	Grade 7	Grade 8	Grade 9	
Research Track	Grade 7	Grade 8	Grade 9	Grade 10

Adjunct Professors: Adjunct Professors are those members of staff whose contribution to Hope is equivalent to approximately two weeks full-time work (or more) in any one academic year. All Adjunct Professors either already hold senior appointments elsewhere or else have done so in the past. They are normally at Professorial level in their own institutions. Adjunct Professors normally teach at level M and may supervise research students. Adjunct Professors may assist with the supervision of research students, but do not take primary responsibility for supervision. Since all Adjunct Professors at Hope will be established senior scholars, they may, if they wish, use the title ‘Professor’ while engaged at Hope. The Dean recommends each such appointment to the Vice-Chancellor and the proposal is discussed at Rectorate Team.

Visiting Professors: Visiting Professors are those staff who, while making an important contribution to the work of the University, are on campus for only shorter periods of time. Hope has a policy of not simply appointing Visiting Professors in name only. All Visiting Professors do visit and are actively engaged with the units to which they are appointed, even if only for short periods of time. Given that Visiting Professors are on campus only

infrequently, they do not supervise research students. During their visits they may, however, run seminars and/or assist with staff and more general academic development. Visiting Professors may not always be from academic institutions and hence do not normally use the title 'Professor' (unless they already hold that title) while engaged at Hope. The Dean recommends each such appointment to the Vice-Chancellor and the proposal is discussed at Rectorate Team.

Impact strategy

Liverpool Hope University is committed to high quality academic pursuit; it has also, since its inception, sought “to contribute to the educational, religious, cultural, social and economic life of Liverpool, Merseyside, the North-West and beyond.” Thus, the impact agenda is embedded at the heart of Hope’s mission.

The impact of excellent research may be felt in a broad range of domains, from academic and student communities to broader cultural, social and economic spheres. Hope recognizes the productive value of ‘making a difference’ all these areas. Within the context of the REF, impact is defined as “an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia.” In keeping with its own mission and national policy frameworks, Liverpool Hope seeks to maximize such impact, underpinned by excellent research. It is understood that not all activities which have impact in different communities will fit within the framework of the REF; such activities are considered valuable in their own right and are an important part of the institution’s commitment to public engagement and contribution.

It is recognized that research impact may emerge organically. It is also recognized that certain forms/foci of research are more likely to have tangible impact in the broader public domain than others. However, much research with potential impact requires strategic intervention for the greatest benefits to be achieved. This is important not only for itself, but for enhanced success in grant application and for REF 2020. Impact planning and achievement is a long-term activity.

As impact emerges directly from research undertaken, impact strategies are largely played out at faculty level. The institutional context for this planning includes:

1. Departments and Faculties are asked to:
 - identify and develop specific research areas with particular potential for tangible public impact;
 - establish systems and processes to record and track evidence of impact, making use of the APS as a means of data capture where appropriate;
 - monitor staff development and mentoring needs and respond appropriately.
2. Regular review mechanisms to measure progress and effectiveness, and for forward planning: impact review will form part of a broader biennial Research Review process.
3. Staff development, which is intended to:
 - contribute to a culture shift whereby impact considerations are part of the overall research development consciousness
 - support individuals/Departments at the various stages of the impact life-cycle (planning, user/beneficiary engagement and involvement, achieving, evaluating, and providing evidence for)

(d) raise the profile of resources such as the Research Councils' 'Pathways to Impact' toolkit, including for those not specifically applying to a Research Council, and of resources provided through VITAE

(e) assist with the development of public dissemination strategies
4. A portion of the Research Finance Committee budget is earmarked for support of activities to achieve impact and to encourage applications specifically designed to promote it.
5. Working towards alignment of the University's impact strategies with its strategies for business engagement and knowledge exchange and transfer (including in relation to HEIF).
6. Supporting, where appropriate, Departmental and Faculty efforts to engage in strategies such as:

- the development of partnerships and user/beneficiaries engagements which may act as incubation beds for impact
- media engagement
- public engagement
- advisory work and expert opinion

7. The REF Steering Group aims to:

- Review impact-related research activity on a biennial basis
- Develop a ‘bank’ of case studies demonstrating impact
- Implement the ‘Concordat for Engaging the Public with Research’
- Monitor best practice in the sector and ensure it is shared across the institution
- Advise on staff development needs in relation to impact

A brief guide to strategies for developing impact can be found at [Appendix C](#).

Resources

Liverpool Hope invests significant internal funds in the development of research. This includes staff time through staffing allocation models, the one-twelfth annual academic salary bill to which reference has been made above, and on-going infrastructural investment (for example, in library resources, physical equipment and laboratory space). Additionally, each year Liverpool Hope sets aside a significant sum of money to enable research activity. This Research Fund is administered by the PVC (Academic), who devolves substantial funds to the Research Funding Committee for directed strategic use (see <http://www.hope.ac.uk/aboutus/governance/committeesandminutes/committees/researchfundingcommittee/>). Further sums are devolved to each faculty, for use in accordance with faculty strategic plans for research. These sums are administered through the Faculty Research Committee structure. Staff request resources through application to the Research Funding Committee and Faculty Research Committees, who are responsible for ensuring that clear priorities and criteria for the allocation of funds are established and that funds are allocated in

a fair and transparent manner. These committees all report to the University Research Committee.

The use of internal research funds is not intended to serve as a substitute for grants from external funders. Aims include the ‘seeding’ of projects, providing greater opportunities for staff to be successful in external bidding, and the provision of support for valuable aspects of research life for which external funds may not be available (such as certain costs associated with publication, or membership of disciplinary research bodies). It is noted that if specialist equipment, software or books is acquired via the University’s research funds, they become the property of Liverpool Hope.

Possible areas for application include:

- Research Centre Grants
- Individual Research Grants
- Travel Grants
- Conference Grants
- Primary Research Travel
- Major Research Project Application Preparation Grants
- Membership of Key Societies/Associations
- Publications
- Impact Activities

Further details about these schemes can be found at <http://www.hope.ac.uk/media/liverpoolhope/contentassets/documents/governance/committees/researchcommittee/media.38095.en.pdf>. The Research Funding Committee may also from time to time open calls for applications for special initiatives designed to support the strategic development of research in specific areas. For example, bids are invited to a Research Equipment Fund during the academic year 2014/15.

In all cases, there is an expectation of accountability, and staff are required to report back on the outcomes of their use of funds.

External Grants

Liverpool Hope University is committed to increasing the level of external funds for research and scholarly activity. This is understood to be part of core academic duties and forms part of role profiles, performance review and promotions procedures (see <http://www.hope.ac.uk/gateway/staff/personnel/policiesandforms/policies/>). All staff at Grade 8 or above are expected to submit at least one external grant application per annum. The generation of external funding is also a key expectation for Research Centres. There is a general expectation that all Departments will seek to improve their external grant profile, in terms of both income and prestige. Targets are established locally to reflect Departmental and Centre profiles in terms of experience, expertise and track record. Strategies include:

- Seed funding. Liverpool Hope uses its own internal funds to ‘seed’ projects and provide greater opportunities for staff to be successful in making bids and receiving funds from external bodies.
- Targeting. Research Centres, individuals and groups, under the leadership of Deans and Heads of Department, are encouraged to identify opportunities for bidding which have a strong match with areas of research strength and robustly developing profile. In some instances, the institution may undertake major cross-faculty research bids which have a clear fit with Hope’s research profile, strategic direction and mission and which may require the investment of Hope’s internal resources.
- Collaboration and networking. Where appropriate, staff are encouraged to participate in collaborative research bids, including at cross-departmental, faculty and institutional levels. In cases where Hope applicants are not PIs, cross-institutional bids are also seen as valuable staff development and profile building.
- PGR funding. Liverpool Hope was successful in securing postgraduate funding through the AHRC Block Grant Partnerships: Capacity Building Route and has also attracted doctoral endowments from individuals and charities; Hope is committed to following up all such opportunities to build its externally funded PGR base.
- Capacity Building. It is acknowledged that greater success in attaining external funds is generally achieved where there is an existing track record. Staff— particularly staff at early stages of their research careers—are therefore encouraged to target smaller

bids and grants as a route to building up a profile, or to participate in collaborative bidding led by more established researchers (internally or externally).

- Diversification. Staff are encouraged to make full use of the range of funding opportunities potentially available, from small independent charities, personal endowments and the commercial sector to major trusts and the publicly funded Research Councils.

The Research Facilitator has the remit of increasing externally funded research activity at the University, by working in partnership with academics to secure, manage and increase funding from external organisations both nationally and internationally. The prime role of the Research Facilitator is to support the University's research aims, and in particular its researchers. This includes:

- Provision of accurate information on finance matters such as Full Economic Costings;
- An internal peer-review process to assist with the quality and sharpness of grant applications;
- Staff mentoring and development, for individuals and groups;
- Engaging in strategic monitoring of data pertaining to bids and grants such as application and success rates.

Approval Processes: In cases where there may be operational or resource implications for the faculty or where institutional support is required, a member of staff who wishes to apply for funding should first approach their Head of Department, who will discuss the matter with the relevant Dean—or, where the anticipated bid falls outside of Faculty structures, with the PVC (Academic). The Head of Department and Dean will take into account any impact that the bid might have on the overall requirements and priorities of the subject and Faculty (for example where it might mean that the staff member would be absent from teaching for a period of time). The Dean is responsible for granting approval for the application to progress. However, if the Dean's decision is thought to be unreasonable by the staff member, he or she may appeal to the PVC (Academic) who will investigate the matter fully.

Where there are any actual or potential costs to the University (for example where there is a requirement for match-funding or for allocation of resources such as office space, equipment etc.), it is the Dean's responsibility to ensure that the PVC (Resource Management and Planning) is consulted prior to the granting of approval to proceed with the bid.

Research Time Allocation

Research is a fundamental part of the University's standard staff allocation model for academics (see <http://www.hope.ac.uk/gateway/staff/policiesandprocedures/>), which is kept under regular review. The Terms of Employment at Liverpool Hope, a contractual document that is in force for all members of staff appointed on or after 1 September 1989 or promoted after 1 February 1991, also includes four weeks in each year for such activity. This is a major investment on Hope's part; for it means that approximately one twelfth of the academic staff bill is being invested in 'research and scholarly activity'. It is therefore important to ensure that this public money is properly spent and can be accounted for in a planned and transparent way. Hope is working towards staff student ratios of no more than 1:20 (and ideally 1:18) or as appropriate in ITE.

Staff are encouraged and supported to apply to external grant schemes which resource blocks of consolidated research time. Staff may also be allocated internal funds for limited 'buy-out' from other duties in order to support specific, well-defined and strategically significant research projects (including impact-related activities).. At faculty level, Deans are encouraged to manage workload and resource distributions to optimise staff research endeavour. This may include the granting of consolidated periods of time for research activity in blocks not exceeding one full month. Longer periods of time may be agreed by individual Deans but will need the counter-signature of the Pro Vice Chancellor (Academic). In all cases, research time taken should be accounted for, and reports made to the Head of Department and Dean within one month of the period in question.

Research Centres and Groups

Research Groups provide the means for academics with shared interests and emerging or established excellence in research to engage in collaborative research activity. This could include (but is not limited to) the organization of seminar series, conferences and colloquia; joint publications; PGR supervision; the production of edited collections. Research group recognition, reporting and review takes place at Faculty level through Faculty Research Committees, although it should be noted that cross-Faculty groupings are fully welcomed. Research groups may be short- or long-term in nature and arise organically and flexibly.

Research Centres are formally established and reviewed by University Senate. Such Centres represent areas of research activity which the University has determined are in its strategic interest. Research Centres will contribute substantially to University research activity, providing leadership and a networked context for PGR students and staff, and acting as hubs for the building and enhancement of the research culture. It is expected that the Research Centre profile of the institution will evolve over time.

Centres will be characterized by a majority of the following features:

- A critical mass of scholars with a sustainable thematic focus
- Striving for research of international excellence in terms of originality, significance and rigour and the publication of a body of work suitable for REF inclusion
- A formal leadership and management structure, including external advisors/consultants
- Acting as a platform for successful grant applications
- Collaborative activity with external partners, both inside and outside of academic contexts
- The organization of research events such as public lectures, colloquia and conferences
- The attraction of academic visitors to Hope
- Involvement in public dissemination of work in, for example, business, governmental, educational or community settings
- PGR recruitment and supervision, and contribution to a stimulating and supportive environment for postgraduate study
- Public engagement and impact of significance and/or reach

Research Centres report their activities to Senate on an on-going basis and are formally reviewed biennially. It is expected that appropriate targets and KPIs will be established at Faculty level. Given the diversity of Research Centres, a ‘one-size-fits-all’ evaluation model is not employed; however, criteria according to which Centres are reviewed include:

- Quality and number of academic publications, including at international level
- External recognition, such as invited papers and publications in high quality outlets, awards, keynote lectures, or other honours

- Membership in nationally and internationally significant research-related bodies and peer review groups, such as editorial boards, peer review colleges, committee boards and steering groups, conference program committees
- Links with visiting academics
- Income generation
- PGR recruitment and completion
- Evidence of public impact of significance and/or reach
- Vitality of research culture and environment, as evidenced through, for example, conference organization and the hosting of seminar series

New research centres may be proposed at any time and are subject to rigorous review (including if thought appropriate external peer review). In outline, the process is:

Proposal is drafted by staff member(s)

Discussion/approval by Head of Department

Discussion with Dean

Approval at Faculty Research Committee

Approval by Senate (where a Centre or Institute is being proposed)

Approval by Council (where a Centre or Institute is being proposed)

There will be a 'light-touch' review of research centres in December 2014, as part of general research review activity. There will be a full review in 2015/16 and thereafter biennially.

Conferences and Colloquia

Hosting and Organizing

Liverpool Hope University expects that each faculty will host major academic conferences and colloquia on a regular basis and is also willing to support conference activity in areas that are not confined to a faculty: for example, a high-level conference in the area of learning and teaching. Hope encourages multi- and inter-disciplinary conferences and colloquia.

Conferences and colloquia will often be part of Research Centre programmes of activities. Research Centres and individual staff members may apply for funds to facilitate such events.

For the purposes of this document:

- A conference is a major event that may attract significant numbers of participants, not all of whom will be presenting papers. Typically the organisers of a conference will issue an open call for papers. These papers, or proposals for papers, will be peer-reviewed and selected on the basis of individual academic merit and the extent to which they are coherent as part of the programme as a whole.
- A colloquium is a smaller event, but usually very finely focused. All participants at a colloquium will play an active part. This normally means that each participant is presenting a paper. The average number of participants at a colloquium as here defined is 12 to 15, and the outcome is an edited book or other relevant subject-specific alternative. Indeed, it is normally the case that the conveners of a colloquium will first conceive of the book/other outcome, and then work backwards, inviting internationally-known scholars in the relevant field to contribute individual chapters. The colloquium is the opportunity to discuss those chapters and to get an overall sense of editorial needs and policy (which may include inviting scholars who have not actually been in attendance to write chapters to fill obvious gaps)

Both conferences and colloquia have major benefits to an academic community such as Liverpool Hope University. The former will bring a number of distinguished scholars and other guests to the Hope Park campus and thereby showcase our University. In addition the holding of a conference will add significantly to the intellectual life of the institution as a whole and to the hosting faculty/subject in particular. A conference will also give intellectual and professional satisfaction to members of the Hope team that are involved in it, through the opportunity to engage with other scholars and to share research. The proceedings of a conference may be published resulting in an REF-able outcome, at least insofar as Hope staff members are represented in the volume (though the research leadership role of organising a colloquium and publishing the results is also important). Colloquia will often have a higher-impact outcome, namely a volume of real coherence and academic standing. Colloquia are considerably easier to organise, but lack the benefits that conferences bring by virtue of sheer numbers of participants. Both will contribute significantly to REF narratives.

Liverpool Hope University is willing to support both conferences and colloquia, and would ideally like to see a mixture of both in any one year.

Presentation of Work

Staff are also supported to present at high-level conferences within their field. The benefits of this are multiple:

- It is a significant opportunity to forge contacts in other institutions, nationally and internationally, which can lead to further invitations and collaborations;
- It enables staff to gain external feedback on their work at a pre-publication stage;
- It enhances staff's ability to keep up with cutting-edge research and benefit from exchange of insights with others;
- It is generally a staging post to production of a peer-reviewed output;
- It raises the profile of Hope researchers as a significant presence within particular fields;
- It promotes a research culture embedded in externality and internationalism;
- At many major conferences, it allows staff to meet with publishers' commissioning editors and discuss potential publication of their work.

As with all Hope-funded research activity, conference presenters are expected to report back to the Faculty Research Committee or the Research Finance Committee as appropriate.

Collaboration and Networking

Liverpool Hope supports the value of collaboration and networking in research. Research shows that collaboration is a driver of research success.⁴ There is also evidence that “the citation impact of collaboration increases with geographical extent”: thus, international and cross-institutional collaborations tend to have greater citation impact than intra-institutional co-authorships.⁵ Positive features of collaboration include the possibility that it can:

- bring about access to a broader pool of facilities, equipment and resources;
- motivate and stimulate research through challenge to and exchange of research ideas
- provide mentoring opportunities;

⁴ Economic Insight, *Growing the Best and the Brightest*, p. 30.

⁵ Ibid., citing BIS, “Comparative Benchmarking of European and US Research Collaboration and Researcher Mobility” (2013), p. 24.

- offer complementary expertise (as, for example, in interdisciplinary work), and/or contribute to the sense of a lively critical mass;
- allow for transfer and exchange of knowledge and research opportunities between different sectors (such as collaborations with businesses, schools or charities);
- through such collaborations, enhance the potential for research to have impact beyond academic circles.

Collaboration may be formal or informal, and it may take place between multiple large-scale organizations or between two individuals. Collaboration opportunities often arise consequent upon networking.

Hope's strategy for fostering collaboration includes:

- Hope's Research Centre and groups structure is designed to foster opportunities for collaboration, both within and beyond the institution. Indeed, Research Centres are expected to include external membership within their steering groups.
- Supporting staff to host and organize conferences upon Hope campus, and also to attend and present at high-level conferences within their field; this offers opportunities for networking and making contacts with potential partners for collaborations;
- Encouraging faculties to develop collaborations with users and potential research beneficiaries as part of their impact strategies;
- Forging international partnerships with institutions such as Christ University, Bangalore, India, and Sun Yat-sen University, China, which provide a platform not only for academic exchange but also prospects for research collaborations;
- It has established the Business Gateway, which hosts cross-sector networking events and provides opportunities to establish partnerships and knowledge exchange. Collaborative research provides the opportunity for businesses and Liverpool Hope University academics to work in partnership to develop ideas, products and services that will have a real impact on economic, environmental and social issues. Guidance is also provided on Intellectual Property Rights. This also offers opportunities for knowledge exchange activities, consultancy and third stream income.

Library and IT Services

Library

The Library service is committed to the support of research activities; it seeks to develop its services and build its resource collections and physical infrastructure to maximise its value to the scholarly community. To facilitate communication between Library Services and the research community, the Head of Library Services is a member of Research Committee and the REF Steering Group, and Faculty Librarians attend Faculty Research Committee. Its strategies to foster its contribution to research include:

- Allocations for Research and Special Collections within the library material budget allocation model ensure that researchers have access to the materials and resources they need to underpin their research through being able to recommend items for purchase. A core set of online resources, including researcher tools, are funded to complement the resources purchased at University, Faculty and Subject levels. Newly appointed academics can be awarded funding to allow the development and enhancement of collections in their research interests and enable materials to be available to also support teaching based on their research.
- The collection, development and exploitation of Special Collections in identified core areas to underpin research activities. This is through both donations and supporting purchases. The Special Collections Cataloguer and Reading Room provide support and an environment for researchers from within and outside Hope to work on these materials in a safe and secure environment and with specialist equipment available. As part of its research strategy, Liverpool Hope has invested in a number of Special Collections. In keeping with its historical foundation, there is currently a particular concentration in the areas of Christian theology, African and Asian Christianity and Church history; there is also a significant Education Research Archive. For full details of Special Collections see <http://www.hope.ac.uk/gateway/library/hopecollections/specialcollections/>; these have an essential role in supporting the research activities not only of Hope staff and students, but also of external researchers. Thus, the Special Collections form an important part of the strategy for attracting external scholars to Hope campus.

The Library aims to:

- Provide Special Collections that support the research activities of Liverpool Hope staff, students and external researchers
 - Ensure that the collections develop and evolve to reflect research activities and Centres.
 - Create suitable environments to house these collections, especially those that may be rare, fragile or valuable
 - Exploit the range of formats that materials may be available in and provide appropriate equipment & support e.g. microfiche/film reader/printer
 - Exploit technology to improve both access to and discoverability of the library collections
 - Develop the collections through donations and external grant funding as well as internal investment. All donations are screened for condition and relevance to the research interests of the institution.
-
- The Library manages the Liverpool Hope Research Repository and plays a leading role in ensuring all suitable open access outputs are deposited within the requisite timeframes established by HEFCE.⁶ The University's preferential route in relation to open access is Green.
 - Contribution of a series of sessions to the PGR training programme to ensure research students are aware of the resources available to them and are shown how to use them most effectively. In addition, training is provided in areas of Library expertise such as copyright and referencing; the Library also seeks to support students in exploiting researcher tools (for example, Papers Invited and Research Skills Online).
 - Faculty Librarians are available with the subject knowledge and expertise to support researchers at all stages, including through one-to-one support when it is needed by the researcher
 - A dedicated Postgraduate space within the library so researchers can work in a suitable environment close to the library collections; some of these spaces can be

⁶ See <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/> for HEFCE, Circular Letter 07/2014 and 'Policy for open access in the post-2014 Research Excellence Framework' (2014/07)

booked for longer periods to enable researchers to have guaranteed access at key points of their research.

- The Library team have supported the implementation and development of Liverpool Hope Research Repository to facilitate the promotion and dissemination of Hope's research outputs. This includes provision of copyright advice, documentation and training of academic staff.
- Library staff raise awareness of professional issues that affect research activities, such as developments in relation to Open Access (see , and play an active role in the development of appropriate policies and procedures.

IT Services

It is the role of IT Services to provide high quality and reliable IT Services to the University in support of its activities, including research. The strategy in relation to IT Services is to aim to ensure that all Information Technology objectives are directly aligned to and contribute to the mission, values and corporate objectives of Hope, in addition to maximising return on Information Technology investments, and to identify how Information Technology can be applied to enable advances and increase effectiveness and efficiencies in Hope's processes. There is ongoing investment to enhance the IT infrastructure and to provide staff and students with technical support.

IT Services operate a technical support service and provide and maintain core IT facilities such as the online infrastructure, personal and open access computers and associated software, printing facilities, and internet connectivity; other areas in which IT Services act to support research include:

- Provision of eduroam wireless service, enabling access to wireless internet connection at all participating institutions;
- Development of online systems to streamline research-related processes, such as the Postgraduate Research Applications process;
- Development and maintenance of the Academic Profiling System;
- Provision of research-related software such as SPSS, Sibelius and specialist graphics software;
- Provision of multimedia equipment and audio visual services;

- Conference support, including enabling the download of public, guest and inaugural lecture recordings;
- Improvement of availability of off campus access to services.

IT Services are reviewed on an annual basis in relation to its performance and the needs of its client base.

Postgraduate Research Students

Liverpool Hope currently offers three research degrees: M.Phil, PhD and a professional doctorate in Education. In all cases, Hope is committed to ensuring that the quality and relevance of its research degree programme are of the highest possible level. The strategic emphasis is on quality and measured growth. The goal is foster a stimulating and supportive PGR culture, enhance completion rates, and recruit high quality candidates to areas of clear and sustainable strength. To this end, Hope undertook a major review of its PGR systems and processes in 2013/14. The result was a PGR Review Action Plan; all faculties are expected to take the appropriate measures to ensure that policies and procedures outlined in the PGR Review Action Plan are followed.

Key features of the plan for the future include:

- **Recruitment.** A rigorous screening process for applicants is in place, which considers the qualifications and preparedness of the candidate, the quality of the research proposal and the ‘fit’ with research supervisory expertise. The latter is crucial; Hope only seeks to recruit candidates and grow its programmes in areas of research strength and suitable supervisory capacity.
- **Development.** Development programmes are in place for both students and staff. The former is articulated in relation to the VITAE Researcher Degree Framework. The latter is a mandatory requirement for approval as a supervisor. Staff are expected to engage with the supervisory training programme on an ongoing basis.
- **Directors of Studies.** The role of Director of Studies has been introduced to provide a formal lead in the monitoring of progress, annual review, and navigation of systems and structures.

- Supervisor Approval. All supervisors undergo a formal approval process which considers factors such as research profile and previous supervisory experience. The structure of supervisory teams builds mentoring into the process for less experienced research student supervisors.
- Research culture. The institution seeks to enhance this through involving PGRs in Departmental, Faculty and University research events and activities, and fostering a collaborative research environment through, for example, shared training and annual Poster Day. It also encourages and facilitates peer events, such as an annual student-run Postgraduate Conference. Attachment to Research Centres also provides a means for PGR students to participate in the broader research culture and community.
- Infrastructure. The institution keeps under review its provision of suitable learning spaces, library and training resources.
- Feedback. Mechanisms are in place for both students and staff to feed back on their experiences of the research degree programme. This is an important part of the quality enhancement strategy.
- Funding. Hope actively seeks external grant monies in order to support postgraduate students through provision of bursaries. Grants to date have come, for example, from personal donation, charitable trusts, business partnerships and Research Councils. It may also invest internal funds into doctoral studentships where appropriate and in keeping with strategic goals.
- Collaboration. Where appropriate, Hope considers collaborations with other institutions in the provision of research degrees. Currently, Hope offers research degrees in partnership with the Maryville Institute.

Equality and Diversity

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

- treated with respect and dignity
- find it possible to participate fully in the life of the University
- are recognised for the varied contributions that contribute to Hope's mission

- have equal access to opportunities so as to maximise their personal, academic and professional development

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

The University operates a number of core policies and practices in this area, including:

- Disability and Reasonable Adjustments
- Equal Pay Policy
- Equality and Diversity Policy
- Equality Analysis

(See <http://www.hope.ac.uk/personnel/equalityanddiversity/>)

Hope is committed to developing a framework that ensures that equality and diversity are mainstreamed into the full range of its activities. The Equality and Diversity policy provides the framework for the implementation and co-ordination at a corporate strategic level of the University's approach to recognising and advancing equality and diversity. This policy and other associated policies are implemented in accordance with the relevant current legislation and codes of practice. Hope is committed to the principles of equality and diversity as well as the prevention of discriminatory practices (even inadvertent). The policy is reviewed by the University's Equal Opportunities Sub Committee to ensure its effectiveness in achieving equality of opportunity.

Responsibility

The University Council has overall responsibility for ensuring that Hope operates within this framework and delegates detailed consideration of policy development in this area to its Staffing Committee. Responsibility for implementation of this policy lies with the Rectorate and Senior Management Teams and for monitoring of its success with Staffing Committee and the Equal Opportunities Sub Committee. Equality analysis is undertaken whenever new policies or procedures are proposed or amended.

The University recognises that all of its staff and students have a duty to support and uphold the principles contained in this policy and supporting policies and schemes. The commitment of all members of the community is required to make the policy a success. Every employee is required to assist the University to meet its commitment to provide equal opportunities in employment and avoid unlawful discrimination.

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

In keeping with regulatory requirements and Hope's values, REF 2014 was governed by Hope's Code of Practice for the Fair and Transparent Selection of Staff (see <http://www.hope.ac.uk/gateway/research/researchexcellenceframework/internaldocuments/>), and future REF entries will be governed by similar principles in line with best practice and legal frameworks.

Research Integrity

Statement of Principles

Liverpool Hope University fully embraces the Concordat to Support Research Integrity in UK research. In particular, it shares the commitments to:

- maintaining the highest standards of rigour and integrity in all aspects of research
- ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards
- supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers
- using transparent, robust and fair processes to deal with allegations of research misconduct should they arise.

- working together to strengthen the integrity of research and to reviewing progress regularly and openly.⁷

Hope expects the highest possible standards of research integrity from all those involved in research under its auspices. This includes staff, students and any other individuals working on University premises or using the facilities. Those involved in research are expected to adhere to the following principles, drawn from the UK Research Integrity Office Code of Practice for Research:

- Excellence. Hope and its researchers should strive for excellence in research, seeking to produce and disseminate work of the highest quality.
- Honesty. Hope seeks to foster and maintain a culture that values honesty in research. Researchers are expected to be honest in relation to research, both their own and that of others. All reasonable measures should be taken to assure the accuracy of findings, give due acknowledgement to the contributions of others. Members are expected neither to engage in misconduct nor to conceal it.
- Integrity. All research undertaken under the auspices of Hope should comply with legal, ethical and professional expectations and requirements as relevant to the field of study. Conflicts of interest, potential and actual, should be declared as part of the Research Ethics procedure. Action may then be required to ensure that the conflict of interest does not compromise the integrity of the research or the interests of the University.
- Co-operation. In the spirit of collegiality, transparency and openness, Hope promotes the open exchange of ideas, methods, results and their discussion. This includes engagement with peers external to the institution and with the public. It is, however, recognized that other valid concerns may limit the degree of openness that is appropriate: such as confidentiality, sponsors' requirements or interests, data protection or intellectual property issues.

⁷ Universities UK, *The Concordat to Support Research Integrity* (Woburn House, 2012), p. 4.

- **Accountability.** All research undertaken should comply with any agreements or terms and conditions relating to the project and allow for appropriate transparency. Any requirements, regulations and guidance of professional bodies should be followed.
- **Training and Skills.** Researchers should ensure that they have or know they can gain access to the necessary skills and training to conduct proposed research. Hope endeavours to resolve unmet needs through, for example, staff development, mentoring, training opportunities and the fostering of teamwork and collaboration. This includes support in assisting researchers in identifying unmet development needs.
- **Safety.** Hope and those involved in research should ensure the dignity, rights, safety and well-being of all research participants. Such considerations form part of the Research Ethics Policy.

All those involved in research at Hope are expected to be aware of and adhere to relevant policies and procedures governing the practice of research to ensure its integrity.

Governance, Policies and Procedures

Research integrity is embedded within academic practice and culture. Responsibilities relating to research integrity are shared across the whole research community and are governed by a wide range of structures, policies and procedures relating to studying and working at Hope. This includes the Disciplinary and Whistleblowing procedures and policies on Research Ethics, Safeguarding, Whistleblowing, Portable Data Device Security, Information Security and Declaration of Interests. Overall responsibility for matters pertaining to research integrity rests with the Research Committee and forms part of the remit of its Sub-Committee on Research Ethics. Research integrity forms part of the researcher development programme for both students and staff. The aim is to nurture a research culture that fosters good research practice and research integrity.

An annual statement is presented to University Council, summarizing actions and activities which have been undertaken in order to: support both understanding and application of research integrity; provide assurances that processes in place relating to misconduct are robust, fair, transparent and appropriate to needs; and give a high-level account of any formal

investigations into potential research misconduct.⁸ To enhance accountability, this statement is made publicly available.

Research Ethics

The responsibility for promoting and delivering good research practice is shared by the whole research community. Researchers should strive for the highest achievable standards in the planning, conduct and reporting of their research and demonstrate integrity in their dealings with others. Organisations funding, undertaking or engaged with research should foster a culture that supports and embeds good research practice and aims to prevent research misconduct. Researchers and research organisations have a duty to ensure that roles and responsibilities are clear, that appropriate resources and skills are in place and that a robust framework is in place to ensure the highest standards of integrity, including the standards required in relation to research ethics.

The primary strategy for managing research ethics lies in having and regularly reviewing a robust and transparent research ethics policy, based on clear and sound principles, and embedding awareness of and adherence to research ethics principles and procedures within systems and research culture more generally. All research undertaken at Liverpool Hope is subject to its Research Ethics policy and associated approvals procedures, although the level of ethical approval depends on the nature of the research (see <http://www.hope.ac.uk/aboutus/governance/policiesandstrategies/> for the Research Ethics Policy).

Governance

The University Research Ethics Committee is responsible for all matters relating to research ethics across the University, for the implementation and review of the Research Ethics policy, and ensuring that systems are in place to provide training and guidance for staff.

It is custom and practice at Liverpool Hope University that responsibility for the implementation of University policy approved by Council and Senate is devolved to Faculty level. Each Faculty operates in accordance with the Research Ethics Policy. Department have at least one Ethics lead, who sit on the Faculty Research Ethics Sub-Committee (chaired by the Faculty Research Ethics lead), and ensure that the ethical approval of research within

⁸ Ibid., p. 20.

their Departments is managed effectively and in line with this policy. The approval documentation and the original proposal must be maintained for audit purposes. University Council has a Council Standing Committee on Research Ethics, which provides assurances to Council that the risks associated with research ethics are being managed effectively.

Principles

Whilst systems of ethics review and regulatory requirements can change quite rapidly, there are a number of ethical principles that should be followed when undertaking research and they form the basis of Hope's policy. At their core, these ethical principles stress the need to (a) do good (known as beneficence) and (b) do no harm (known as non-maleficence). In practice, these ethical principles mean that all researchers, whether staff or students, need to ensure that their research is designed and conducted to the highest standards possible.

In order to achieve this, researchers may, dependent upon the nature of their project, be required to: (1) obtain informed consent from potential research participants or those responsible for their well-being (e.g. parents); (2) minimise the risk of harm to participants; (3) protect their anonymity and confidentiality; (4) avoid using deceptive or covert practices; and (5) give participants the right to withdraw from the research.

Collation of Research Activity

Liverpool Hope recognizes the need for robust data collection mechanisms both for internal monitoring purposes and for future REF submissions. In terms of research-related data, this is achieved through:

- HESA returns provide year-on-year data on staffing, PGR student numbers and external funding which is the basis for REF data in these respects; the underlying data collection mechanisms and databases rest with Personnel, Registry and Finance respectively. The REF Steering Group will monitor REF-related data before submission to HESA.
- The research activity of academic staff is collated in two primary ways: through the Liverpool Hope research repository, and through the Academic Profiling System. This is a recent investment by the University to provide a 'one-stop-shop' for academics to input data relating to all aspects of their research activity (including, for example, impact, conference activity and contribution to discipline as well as outputs);

- Research Centres provide reports on their activities to Faculty Research Committees, Research Committee and to Senate at least annually;
- Biennial review of units and Departments capture the broad range of research activity in an integrated manner (see below).

Internal Research Review Mechanisms

Liverpool Hope undertakes periodic review of research activity at individual and Departmental/unit of assessment levels. This is intended both to monitor research development for management information, and to act as a constructive means of providing feedback and advice. Research review is undertaken through the following means:

- individual performance review, which also provides the opportunity for staff to identify developmental needs;
- biennial review at University level of Departments/units; this process will include external advisors and be managed under the auspices of REF Steering Group. It will incorporate assessment of outputs, environment and impact. A ‘notice of intention’ will be formally announced in December 2014. The first review will take place September-December 2015 with outcomes available in early 2016. The reviews will take place biennially thereafter..
- REF analysis. Following the results of each RAE/REF, the institution undertakes stock-taking and critical self-reflection with a view to feeding forward into strategic planning for the future.

Faculty Research Strategies

The great majority of research at Liverpool Hope takes place at faculty level. Therefore, faculty research strategies are pivotal to research development within the University. The University has articulated overall strategic goals and REF targets for faculties (see REF section). Recognizing differentiation in profile between Faculties and between Departments, significant discretion is given to Faculties in terms of locally agreed targets, strategies, resource allocation and expectations, within the parameters of the University’s overarching strategic goals and in alignment with Departmental research strategies.

Faculty research strategies are expected to include reference to the headings below. These are based largely on the model provided by REF5a (2014) as a framework for articulating research strategies, although it is understood that not all research within faculties falls within the REF framework. The model is thus in six sections as below; examples of areas that might be addressed under each heading are also provided. The REF Steering Group will review the success of strategies in its biennial reviews; faculties are also expected to report on this in Annual Monitoring Statements.

1. Articulation of the faculty's overall research strategic goals

Specific strategies in relation to:

2. Staffing and Staff Development
3. PGR
4. Income, Infrastructure and Facilities
5. Contribution to Disciplines
6. Impact

Overall research strategic goals

At faculty level, what are the key strategic goals for 2014-20? This might be with reference to, for example:

- faculty-specific targets for ensuring that all research staff are publishing with the originality, significance and rigour appropriate to international research excellence
- that a proportion are playing a leading role in the shaping of disciplines;
- identification of priority areas for development (REF Panel C indicates this should be in relation to 'research topics, funding streams, postgraduate research activity, facilities, staffing, administration and management'⁹)
- linking research strengths and strategies to learning and teaching;
- development of internationally acclaimed Departments and Centres as key focal points for research activity in multiple dimensions, including academic and public events, PGR hosting, and funding bids;

⁹ HEFCE, 'Main Panel C Criteria', p. 120, <http://www.ref.ac.uk/pubs/2012-01/>.

- embedding impact in the research culture and the realization of a number of initiatives of reach and significance; building of the research community culture through, for example, seminar series, symposia, and the attraction to Hope of major external academics and organizations; celebration of research achievements and projects.

Staffing Strategy and Staff Development

- Relationship of staffing strategy to research goals and physical infrastructure;
- Staff development strategy, both early and later career; this could include, for example, mentoring and training; faculty-level measures to support staff in career progression and in achieving performance review targets;
- Mechanisms to promote amongst staff a strong and vibrant research culture (for example, research events and seminar series);
- Effective use of performance review in relation to individual and faculty research goals, including integration with APS;
- Research facilitation for early and later career staff through funding sponsorship and workload management in relation to specific projects/outputs/bidding activity;
- Management and development of the research work of staff in relation to identified priority areas, which may also include recruitment objectives;
- Effective use of visiting fellows/adjunct professors in contributing to research culture;
- Mechanisms to facilitate exchanges between academia and broader public bodies;
- Issues of equality and diversity;

PGR

- PGR student recruitment;
- PG experience and PG culture-building (for example, through events with social components, seminar series, poster days or PG conferences); in some cases, PGT provision;
- Integration of PGR body into broader research culture;
- Support for students in gaining funding;
- Faculty-level PGR training opportunities and requirements.
- development of the PGR body, culture and supervisory capacity.

Income, Infrastructure and Facilities

- Successful generation of research income through targeted external funding bids;
- Departmental and Faculty strategies for use of Library funds to support research needs and activities;
- Fostering of collaborative, interdisciplinary or cross-faculty research bids;
- Use and development of library resources such as special collections and archival materials, and enhancement of their role in attracting visiting scholars and PG students;
- Use and development of any faculty-specific research infrastructure such as laboratories;
- Development of consultancy services.

Contribution to Disciplines

- Hosting and organization of conferences, colloquia, symposia, consultations and the like;
- Enhancing disciplinary infrastructure though acting as an information hub, eg by website building, archival collection;
- Facilitating networking between scholars, and between scholars and practitioners; the development of collaborations/partnerships nationally and internationally, within and beyond academia;
- Support for staff engaging in wider disciplinary activity (peer review; committee membership; editorial activity; etc.);
- Generating inter- and cross-disciplinary exchanges.

Impact

- Engaging in sustainable research that has the potential to make a significant impact in non-academic spheres, with structures in place to facilitate its realization;
- Strategic development of partnerships and relationships with non-academic users and beneficiaries;
- Media engagement;
- Public engagement (eg workshops, schools, conferences);
- Advisory work, consultancy and expert opinion.

Appendix A: Definitions

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

- The writing of book reviews for academic journals
- Attendance at external conferences and colloquia (though such is not funded from research funds but from staff development and/or non-research funds held within the Faculty)
- Participation in reading and discussion groups
- In particular, engaging in reading and other scholarly activity that relates directly to courses taught. This preparation and intellectual activity will subsequently be reflected in the updating of course proformas that take into account recent developments in the subject
- Participation in one of Liverpool Hope’s research groups (though not necessarily delivering a paper)
- The organising of a scholarly conference or colloquium (even where the person concerned is not delivering a paper or editing the research output)

- Participation in one of Liverpool Hope's research seminar series (though not necessarily delivering a paper)
- Contributions to textbooks in the subject area
- Surveys/overviews of material that do not constitute original research; for example, most types of dictionary articles, review articles, and some types of databases
- In some practice-based subjects (e.g. the performing arts) active participation in relevant subject-related performance based activities, for example recitals, drama productions and exhibitions.
- Acting as an external examiner for PhD Theses
- Acting as an evaluator of applications for funding research projects and fellowships
- Acting as a consultant for external research projects

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

Research: Research leads to the advancement of knowledge. Hope adopts the REF definition of research, as 'a process of investigation leading to new insights, effectively shared'.¹⁰ This reflects a shift in emphasis towards making research publicly available, unless undertaken confidentially.

REF expands further on this as follows:

[Research] includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as

¹⁰ REF, *REF 2014: Assessment Framework and Guidance on Submissions*, REF 02.2011 (2011), p. 48

distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research.¹¹

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

- The writing of books where the material meets the definitions outlined above
- Contributing to books where the material meets the definitions outlined above
- The writing of articles in peer-reviewed journals
- The presentation of papers at academic conferences (funded from research funds)
- The preparation of research reports
- The development of new software where this leads to new or substantially improved insights
- The invention and generation of ideas, images, performances and artefacts where these lead to new or substantially improved insights
- Research leadership; for example, membership of editorial boards, the convening of colloquia and the editing of the subsequent research output
- Participation in external research networks
- The award of funds from research organisations such as the British Academy, the Leverhulme Trust, the ESRC, the AHRC and others of similar standing relevant to the subject area, where rigorous peer-review has been independently applied nationally or internationally
- Evidence of peer-esteem; for example the invitation to give research-level lectures, keynote addresses at conferences or editorship of REF-level research outputs
- Evidence of research impact as measured by such things as journal impact factor and relevant subject-specific citations indexes
- Acting as a peer reviewer for national and international journals.
-

Impact: Impact is the broader effects of research within the public domain. The REF definition is “an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia.”¹²

It is further stated that:

¹¹ Ibid.

¹² Ibid.

Impact includes, but is not limited to, an effect on, change or benefit to:

- the activity, attitude, awareness, behaviour, capacity, opportunity, performance, policy, practice, process or understanding
- of an audience, beneficiary, community, constituency, organisation or individuals
- in any geographic location whether locally, regionally, nationally or internationally.¹³

Impact also includes negative effects such as the reduction or prevention of harm, risk, or cost.

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

HEIs' engagement with businesses, public and third sector services, the community and wider public. It includes the transferring or exchanging of knowledge with the aim of delivering external impact, such as improving products, services and profitability. This is linked with research and teaching, and includes consultancy and advisory work, the creation of intellectual property, the development of academic and student entrepreneurship, and a variety of other activities.¹⁴

The term 'knowledge exchange' is preferred in this document as greater emphasis is placed on the process as two-way.

Public Engagement: The RCUK Concordat for Engaging the Public with Research describes public engagement as a diversity of activities including

- Participating in festivals
- Working with museums/galleries/science centres and other cultural venues

¹³ Ibid.

¹⁴ HEFCE, 'Glossary', <http://www.hefce.ac.uk/glossary/#letterK>.

- Creating opportunities for the public to inform the research questions being tackled
- Researchers and public working together to inform policy
- Presenting to the public (e.g. public lectures or talks)
- Involving the public as researchers (e.g. web based experiments)
- Engaging with young people to inspire them about research (e.g. workshops in schools)
- Contributing to new media enabled discussion forums.’

Appendix B: Impact and Research

What is impact?

“An effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life”

Relevant beneficiaries, or domains in which impact might be realized include: health and welfare; public policy, law and services; professions and practitioners

There must be a distinct and material connection between the cited research and the claimed impact

Where do I start?

- What are the potential types of impact that might emerge from my work?
- Who are the potential users/beneficiaries?
- How do I engage these potential users/beneficiaries, and increase the chances of them benefiting from my work?
- How do I track any uptake of my research to see if impact is emerging?
- How do I identify, measure and provide evidence for any such impact?

Maximising impact

- Networks and relationships with users/beneficiaries are key – optimising collaborations and partnerships with non-academic groups
- Involving users in the research where appropriate, including working with stakeholders/participatory groups
- Well-planned dissemination strategies and raising the profile of your research outside academic circles – can lead to formal invitations to provide advice/briefings
- Keeping external organisations updated about your research is important – this can be done by, for example:
- Publishing in practitioner journals;

- Attending networking events run by others,
- Hosting showcasing events;
- Cold calling, after researching their websites and matching your offering to their mission;
- Disseminating research in the format your audience prefers - you might need to work with users to determine the best methods.
- Understanding the challenges and drivers of external organisations is also important.

Evidence of Impact (examples)

- Citation in a public discussion, consultation document or judgement.
- Citation by journalists, broadcasters or social media.
- Citation by international bodies such as the United Nations, UNESCO, IMF and so on.
- Evidence of citation in policy, regulatory, strategy, practice or other documents.
- Evidence of debate among practitioners, leading to developments in attitudes or behaviours.
- Public debate in the media.
- Parliamentary or other democratic debate.
- Visitor or audience numbers, or number of participants (for example, in the uptake of CPD).
- Media reviews.
- Measures of improved inclusion, welfare or equality.
- Independent documentary evidence of links between research and claimed impact(s).
- Documented evidence of influence on guidelines, legislation, regulation, policy or standards.
- Documented change to professional standards or behaviour.
- Satisfaction measures (for example, with services).
- Use in scrutiny or audit processes, such as Select Committees.
- Incorporation in training or CPD material.
- Outcome measures, including measures of outcomes for beneficiaries.
- Quantitative data relating, for example, to cost-effectiveness or organisational performance.

Public Engagement

This is acceptable as an impact, but it needs to be more than passive consumption. Evidence might include:

- Information about the number and profile of people engaged and types of audience. Follow-up activities or media coverage. Evidence of sales, downloads of linked resources or access to web content.
- Descriptions of the social, cultural or other significance of the research insights with which the public have engaged.
- Evaluation data. User feedback or testimony.
- Critical external reviews of the engagement activity.
- Evidence of third party involvement, for example how collaborators have modified their practices, contributions (financial or in-kind) by third parties to enhance services or support for the public, or evidence of funds from third parties to enhance or extend the engagement activity.
- Evidence of sustainability, through, for example, a sustained or ongoing engagement with a group, a significant increase in participation in events or programmes, continuing sales, downloads, or use of resources.

Panel C (including Education), for example, requires that case studies which include impacts deriving from engaging the public with research:

- At least in part, be based on specific research or a body of research carried out in the submitted unit, and explain clearly which particular aspects of the research underpinned the engagement activity and contributed to the impact claimed.
- Include evidence of the reach of the impact. This should extend beyond simply providing the numbers of people engaged and may also, for example, include:
 - information about the types of audience
 - whether there was secondary reach, for example from follow-up activity or media coverage

- other quantitative indicators such as evidence of sales, downloads of linked resources, and/or access to web content.
- Include evidence of the significance of the impact. This should include a description of the social, cultural or other significance of the research insights with which the public have engaged.

Examples of the evidence that might be provided for this include:

- evaluation data
- critical external reviews of the engagement activity
- evidence of third party involvement, for example how collaborators have modified their practices
- user feedback or testimony
- evidence of sustainability through, for example, a sustained or ongoing engagement with a group, a significant increase in participation in events or programmes or use of resources.

Appendix C: Operational Framework for Strategic Goals

Domain	Goal	Means	Responsibility ¹⁵
Research culture	foster an inclusive, stimulating, and sustainable research culture and environment, characterized by externality and internationalism, in which research and research support staff are nurtured, facilitated and rewarded	<ol style="list-style-type: none"> 1. Staff development and promotion mechanisms 2. Faculty research culture initiatives and strategies 3. University-wide research culture initiatives and strategies 4. Opportunity to apply for internal research funding 5. Support to apply for external research funding 6. Mentoring and meaningful review of research 	<ol style="list-style-type: none"> 1. Deans, HoDs, Director of Personnel 2. Deans in conjunction with faculty leaders¹⁶ 3. PVC (Academic); Chair, Research Committee 4. PVC (Academic) 5. Research Facilitator 6. HoDs, Professoriate
	achieve agreed thresholds of research and scholarly activity in all subject areas to meet REF targets, support teaching, and enhance	Faculty research strategies	Deans in conjunction with HoDs, Chairs of FRCs, Chair of Research Committee, PVC

¹⁵ It is expected that senior managers such as Deans will be supported in this by other leaders within the respective teams.

¹⁶ This would incorporate the Professoriate, Directors of Research Centres, HoDs, Chairs of FRCs.

	our reputation and competitiveness		(Academic), Chair of REF SG
	develop or establish appropriate research clusters that contribute substantially to research activity through providing leadership, thematic synergies, a networked context for PGR students and staff, and which can act as hubs for the building and enhancement of research culture	Faculty research strategies	Deans, Directors of Research Centres
	promote the effective communication and dissemination of research results, within and beyond academic circles, including through optimised development of the Liverpool Hope Repository	<ol style="list-style-type: none"> 1. Faculty research strategies (including cross-Faculty interactions) 2. University support for such activities through internal funds 	<ol style="list-style-type: none"> 1. Deans in conjunction with faculty leaders, Chair of REF SG 2. Deans, PVC (Academic), Research Facilitator
	promote the effective communication and dissemination of research results, within and beyond academic circles, including through optimised development of the Hope Repository	<ol style="list-style-type: none"> 1. Open Access 2. Repository 3. Staff development, review and mentoring 4. Impact strategies 	<ol style="list-style-type: none"> 1. Chair of REF SG, Chair of Research Committee, Head of Library Service 2. Ibid. 3. Director of Personnel, Deans, HoDs 4. Chair of REF SG, in conjunction with all leaders

			of research
	continue to enhance the culture and research base to generate increasing levels of external income for the growth and support of research and scholarly activity	<ol style="list-style-type: none"> 1. Faculty research strategy 2. Research Facilitator's strategies 	<ol style="list-style-type: none"> 1. Deans in conjunction with faculty leaders 1. Research Facilitator
	cultivate research excellence through targeted investment in selected areas of research and effective use of research and scholarly resources, both monetary and infrastructural	<p>University and Faculty resource management strategies, including</p> <ol style="list-style-type: none"> 1. Estates management strategies 2. Library acquisitions and special collections strategies 3. Faculty and University research funding strategies <p>HEIF funding strategies</p>	<ol style="list-style-type: none"> 2. PVC (Resource Management and Planning) 3. Director of Library Services 4. PVC (Academic), Chair of REF SG, Chairs of FRCs, Research Facilitator, Deans 5. Director of Development, PVC (Planning and Management)
PGR	generate quality-assured growth in postgraduate research numbers and completions, attracting high-calibre candidates in areas of research expertise and supervisory capacity	<ol style="list-style-type: none"> 1. Faculty research strategies re PGR 2. Central leadership of PGR 	<ol style="list-style-type: none"> 1. Deans, Faculty leads for PGR 2. Associate Dean (Postgraduate), Chair of Research Degrees Subcommittee
	offer an excellent postgraduate experience, providing support and training in accordance	<ol style="list-style-type: none"> 1. Faculty research strategies re PGR 	<ol style="list-style-type: none"> 1. Deans, Faculty leads for PGR

	with the Researcher Development Framework, and integrating the PGR body into the broader research culture of the institution	2. Central leadership of PGR	2. Associate Dean (Postgraduate), Chair of Research Degrees Subcommittee
Impact	develop and foster research areas that make a significant impact beyond academic circles; this includes through knowledge exchange, practice-oriented research applications, enterprise activities and working with the community, public sector, businesses and industry;	1. Director of Development's strategies 2. Faculty, research group and departmental research strategies 3. Staff development 4. REF Steering Group initiatives	1. Director of Development 2. Deans in conjunction with faculty research leaders 3. Director of Personnel, Chair of REF SG, PVC (Academic) 4. Chair of REF SG
	cultivate sustained engagement of users/beneficiaries, participating in appropriate networks and partnerships;	1. Director of Development's strategies 2. Faculty and departmental research strategies	1. Director of Development 2. Deans in conjunction with faculty research leaders
Leadership	continue to strengthen the leadership of research, impact, knowledge exchange, and scholarly activity.	1. HR policies 2. Staff development 3. Faculty research strategies	1. PVC (Academic), Director of Personnel 2. Deans, PVC (Academic), Director of Personnel 3. Deans in conjunction with faculty leaders
	increase our support infrastructure for	HR policies	PVC (Academic), PVC

	research and scholarship by further developing the proactive role of research and development services developing the proactive role of Research, Development and Commercial Services		(Planning and Management), Director of Development,
	manage work distributions effectively in order to embed research and scholarly activity into core expectations	<ol style="list-style-type: none"> 1. University work allocation policies 2. Faculty and Departmental execution of above 	<ol style="list-style-type: none"> 1. Rectorate Team, Director of Personnel 2. Deans, HoDs
Integrity	maintain the highest standards of ethics, rigour and integrity in all aspects of research	<ol style="list-style-type: none"> 1. Research Ethics Policy 2. Research Integrity Policy 	<ol style="list-style-type: none"> 1. Chair of Research Ethics Committee, Chairs of FRCs, Chairs of FRC Ethics Sub Committees