London School of Hygiene and Tropical Medicine

Code of Practice on the selection of staff for the REF

Submission to the 2014 Research Excellence Framework

Accessibility
If you require any document in an alternative format, for example, in larger print, please contact the Equality and Diversity Manager.
Equality and Diversity
This Policy will be applied in a non-discriminatory way, in line with the School’s Equality and Diversity policies.

A. The Code of Practice

1. This Code of Practice sets out the timetable for preparing the School’s submissions to the 2014 Research Excellence Framework (REF), and the processes it will follow in deciding what work will be included in its final submissions. The School has carried out an equality impact assessment (EIA) on this Code which sets out the policy and procedures for selecting staff for the REF. This will be kept under review and further EIAs will be completed as required including on the mock exercise and an analysis of eligible staff selected so as to ensure that there are no equality barriers to selection.

2. The School’s primary concern in preparing its submissions will be to achieve the strongest possible quality profile, whilst also maximising future levels of HEFCE income to support the long-term development of the School. As in other aspects of its work, the School values the diversity of its staff and is committed to equality of opportunity. The Code of Practice has therefore been developed to ensure that decision-making processes with regard to the REF are fair, transparent, consistent and support an inclusive environment which aligns with the School’s Equality and Diversity Strategy, and fulfil all of its responsibilities under the Equality Act 2010 and employment law.

3. In preparing for the REF, the School will need to decide which members of eligible staff are included in its submissions. In taking these decisions, the Senior Leadership Team (SLT) – with advice from the REF Advisory Group (note that although this Code will refer to a single group, the work may separate into two groups to undertake detailed preparations for the submission) - will focus on the quality of the research outputs which could potentially be included in the submissions, rather than making judgements about members of staff. This approach is in line with the REF panels that consider the School’s submissions which will assess outputs, and not individuals.

4. The objectives of the Code of Practice are to:

i. ensure that the School discharges its responsibilities, in respect of all relevant equal opportunities and employment legislation in force at the submission date for the REF;

ii. ensure that decisions regarding the selection of staff to be included in its submissions are made on a consistent basis across the School;

iii. ensure that the criteria used in taking these decisions are transparent and
relate only to the quality of the research eligible for submission, and its coherence with the School’s strategy;

iv. enable the School to include the work of researchers whose volume of output may have been affected by individual staff circumstances;

v. recognise that management decisions will need to be taken regarding the selection of work included in its submissions in order to enhance further the academic profile of the School, and ensure future levels of HEFCE income;

vi define the responsibilities of those involved in the decisions on submission of staff for the REF submission and identify the specific training on equality that will be provided, and

vii. inform all members of School staff of the selection criteria and processes that will be followed in preparing its REF submissions, and of their right to appeal.

B. Key Points

Responsibility

5. Responsibility for the School’s final REF submissions rests with the SLT. SLT will be advised by the REF Advisory Group. The REF Advisory Group was established to co-ordinate the School’s submissions to the two Units of Assessment (UoA) to which it expects to submit work. These UoAs are:

UoA 1 Clinical Medicine and UoA 2 Public Health, Health Services & Primary Care. Both UoAs fall within Main Panel A of the REF

6. The REF Advisory Group reports to SLT and is chaired by the Vice Director.

Eligible staff

7. All members of School staff who meet the funding councils’ definition of REF submissable staff will be eligible to be included in the School’s submissions. The funding councils’ definition is set out in REF 02/2011 (http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/). Staff selected for submission must be listed in one of the two possible categories, A or C.

8. Category A staff are defined as:

• academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on 31 October 2013 and whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’.
Regardless of their job title, all staff that satisfy the above definition along with the following supplementary criteria are eligible as Category A staff:

- Staff who hold institutional/NHS joint appointments;
- Pensioned staff who continue in salaried employment;
- Academic staff on unpaid leave of absence or on secondment and are contracted to return to normal duties up to two years from the start of their period of their absence or secondment, provided that any staff recruited specifically to cover their duties are not also listed as Category A;
- Academic staff employed by the School but based in a discrete department or unit outside the UK if the primary focus of their research activity is clearly and directly connected to the School;
- Staff absent from the School but working on secondment as contracted academic staff at another UK higher education institution (these individuals may be returned by either or both institutions but their total FTE must not exceed their contracted FTE with the School);
- Staff jointly employed by the School and another HEI (where they may be returned by both HEIs, each apportioning the relevant FTE).

Research Assistants (i.e. those employed to carry out another individual’s research programme rather than as independent researchers in their own right) are not eligible to be returned to the REF, unless, exceptionally, they are named as principal investigator or equivalent on a research grant or significant piece of work on the census date. Research assistants cannot be submitted as Category A staff purely on the basis that they are named on one or more research outputs.

9. Category C staff are defined as:

- Individuals employed by an organisation other than the School, whose contract or job role includes undertaking research, and whose research is primarily focussed within the relevant School submission on the census date. They may be employed by the NHS, a Research Council unit, a charity or other organisation, except for an HEI;

Visiting professors, fellows and lecturers employed by other HEIs cannot be returned as Category C staff.

Assessing quality of outputs

10. Having established which members of academic staff meet the funding councils’ definition, the School will then need to decide which of these eligible staff are included in its submissions. In taking these decisions, SLT – with advice from the REF Advisory Group - will focus on the quality of the research outputs which could potentially be included in the submissions, rather than making judgements about members of staff.

11. The REF panels expect the School to cite four publications for each member of staff included in its submissions (unless there are individual circumstances...
affecting the volume of outputs). All members of staff who are potentially eligible to be included in the School’s submissions will have initially been asked to identify the six publications which they consider represent their strongest work for the REF.

12. The quality of the publications identified by each member of staff will be assessed by ‘Mock REF’ review processes, with the outcomes considered by the REF Advisory Group and SLT against the published criteria of the relevant REF panels. The REF Advisory Group and SLT may review an individual’s other publications, and consider these for inclusion in the REF, if they judge that those initially flagged are not appropriate or there is significant overlap/duplication between the items put forward by two or more members of staff.

13. The REF Advisory Group or SLT may seek external advice as part of these reviews, where they consider it appropriate to assess the quality of research in a particular area or to obtain additional advice on draft submissions as a whole.

**Individual circumstances affecting the volume of outputs**

14. If an eligible member of staff has fewer than four appropriate publications then the School will consider any individual circumstances that may have adversely affected their volume of output. This can apply to those taking maternity leave and for example, to members of staff whose research output has been affected for family, health or other reasons. Members of staff will be asked to make known – in confidence - any individual circumstances that may have affected their research output. A form for disclosure is attached as Appendix C. In addition, the School will review staff records to assess eligibility for a reduction due to ‘clearly defined circumstances’ (i.e. maternity, FTE and early career researcher).

**Selection of staff for final submissions**

15. All eligible staff that have produced a sufficient level of output (taking into account any individual circumstances) will be eligible for inclusion in the School’s final submissions. However, this will be subject to SLT’s judgement regarding the School’s overall REF profile, or the profile for the relevant UoA submission.

16. SLT may decide an eligible member of staff should not be included in an REF submission for a number of reasons. These include:

- the quality and/or volume of their research output at the time of the submission has not reached the appropriate level;
- their research output – regardless of quality or volume - does not fit coherently with the School’s research strategy or those of the Faculties and Departments included in the relevant UoA submission;
- a strategic decision by SLT to adjust the staff profile submitted to the REF in order to enhance further the School’s quality profile, and/or ensure future
levels of HEFCE income.

**Staff not included in the final submissions**

17. Eligible staff whose work is not included in the School’s submissions will be notified of SLT’s decision by their Dean of Faculty. The Dean of Faculty will confirm with each member of staff that there are no unrecognised individual circumstances, referring staff to Section E of this Code of Practice.

18. Eligible staff whose work is not included in the submissions will be given feedback, support and guidance, within the context of the School's ongoing appraisal processes and Career Map for academic staff. The fact that a member of staff has or has not been included in the 2014 REF will not be taken into account by the School in any future decisions regarding promotion or employment; such decisions are based on an overall assessment of the level and quality of all types of work.

19. Eligible staff whose work is not included in the submission will have the right to request an appeal hearing on the grounds indicated in Section F below. Appeals on any other basis will be dealt with through the School's Grievance Procedures.

**Equality training for selectors**

20. The School has an established programme of equality and diversity training, as part of its central Staff Development programme. All staff involved in the REF selection and decision-making processes (SLT and the REF Advisory Group) will have undertaken centrally provided equality and diversity training since the introduction of the Equality Act 2010, in addition to training tailored to the REF. The equality profile of all people/groups involved in the process will be monitored by the Equality & Diversity Manager, who will report to the REF Advisory Group/SLT raising any issues.

**Equality Impact Assessments (EIAs)**

21. The School will also monitor the profile of staff identified as potentially eligible for the REF, and will compare this with the equality profile of all academic staff within the School. Equality Impact Assessments will be undertaken on the outcome of the Mock REF exercise and in advance of preparation for the final REF submissions. An equality impact assessment has been undertaken on this Code of Practice.

22. The equality impact assessments are undertaken by the Vice Director/Chair of the REF Advisory Group with the Equality & Diversity Manager.

**C. Preparing the School's submissions – process and key dates**

23. The process and key dates in preparing the School’s submission with respect
to the selection of staff for inclusion in the final submissions are as follows:

<table>
<thead>
<tr>
<th>Date Range</th>
<th>Activity</th>
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<tbody>
<tr>
<td>December 2011-July 2012</td>
<td>Mock REF review exercise. Eligible staff to be returned to the REF update ‘best 6’, followed by internal review process of selected outputs. Outcome profile reviewed by REF Advisory Group and SLT. Decisions on further review activity required and feedback to individual staff on the outcome of the exercise.</td>
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<tr>
<td>June-Sept 2012</td>
<td>Equality Impact Assessments on the outcome of the Mock REF and the draft Code of Practice. Outcome to be considered by REF Advisory Group and SLT and decisions taken on necessary action</td>
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<tr>
<td>July-December 2012</td>
<td>REF Advisory Group and SLT undertake equality and diversity training including on REF equality matters</td>
</tr>
<tr>
<td>Summer 2012</td>
<td>Eligible staff requested to update their best 6 in light of the Mock REF exercise, and update contribution statements</td>
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<tr>
<td>Autumn 2012 (and ongoing thereafter)</td>
<td>Following confirmed approval of this Code of Practice to communicate it to all eligible staff, including to encourage staff to confidentially disclose any individual circumstances</td>
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<tr>
<td>Autumn 2012 (and ongoing thereafter)</td>
<td>REF Advisory Group and SLT to begin identifying staff who will and will not be returned to the REF. Near final decisions to be agreed by June 2013 following additional exercises to review publications. SLT will aim to confirm the staff profile for its final REF submissions no later than <strong>31 July 2013</strong></td>
</tr>
<tr>
<td>Autumn 2012</td>
<td>Deans of Faculty to meet any staff at risk of not being returned to the REF to review progress and support requirements, and to consider whether alternative outputs could be selected</td>
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<tr>
<td>June 2013</td>
<td>Deans of Faculty to inform staff who will not be submitted in writing</td>
</tr>
<tr>
<td>July 2013</td>
<td>Members of staff may request an appeal on the grounds set out in section F. Appeal hearings will normally be completed no later than the <strong>end of July</strong>.</td>
</tr>
<tr>
<td>July 2013</td>
<td>Equality Impact Assessment in advance of preparing the final REF submissions. Outcome to be considered by REF Advisory Group and SLT and decisions taken on necessary action</td>
</tr>
<tr>
<td>December 2013</td>
<td>Publish results of Equality Impact Assessments</td>
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</table>
24. The above dates are indicative and may be subject to review and revision. It may be necessary, for example, to revise the timetable in light of additional REF guidance from the funding councils. SLT reserves the right to take decisions regarding the REF staff profile beyond 31 July 2013, where it considers this necessary to achieve the strongest possible quality profile for the School, or to maximise future levels of HEFCE income.

25. If SLT decides after 31 July 2013 that a member of eligible staff should not be included in the submissions, the individual will receive written notification of SLT’s decision in sufficient time to allow them to request an appeal hearing prior to the final submission date.

D. Roles and responsibilities in the selection and decision making process

26. Responsibility for the School’s final REF submissions rests with SLT, chaired by the Director. SLT will be responsible for the content and structure of the final submissions, including decisions regarding the members of staff and research outputs included in each submission.

27. SLT will be advised in this role by the REF Advisory Group, with expertise in the areas covering by the two UoAs to which the School expects to submit work. The REF Advisory Group is chaired by the Vice Director and membership includes Deans of Faculties, who are all members of SLT. The REF Advisory Group may delegate the review of outputs to sub-groups with relevant expertise in specific areas of research.

28. Preparations for the REF will be managed by the Vice Director. The Vice Director is a member of SLT.

29. All members of SLT and the REF Advisory Group will have undertaken equal opportunities training as part of the School’s central Staff Development programme, and will also receive specific REF equality training.

30. Appendices A, D and E give details of the individuals, groups and committees involved in the selection and decision-making processes for the REF, and of the process followed to select them to undertake their stated role(s).

31. The Equality & Diversity Manager will monitor the equality profile of all people/groups involved in the process, and report to the REF Advisory Group/SLT raising any issues.
E. **Individual staff circumstances**

32. The School is required to include a specific statement within this Code of Practice on how it supports its fixed-term and part-time staff, including contract research staff, in relation to equality and diversity. The School’s policies and practices are designed to be inclusive for all categories of staff, regardless of their contract (i.e. open/fixed-term, full-time/part-time), and this is reflected in the main conditions, benefits and entitlements of employment. For example, staff have equal access to training and support based on the nature of their role, duties and responsibilities. Staff are encouraged to make full use of the centrally run Staff and Educational Development Programme, which covers a range of skills including writing up and communicating research. Some departments reinforce this through additional support for early-career research staff, advising for example on journal selection strategies. Uniquely within the sector, School staff with five or more years’ continuous service whose salaries are funded from research grants or contracts have an explicit entitlement to periods of employment on faculty and/or departmental money when other funds are not available. This benefit is available to all groups of School staff, regardless of grade or level.

33. As a measure to support equality and diversity, the School will consider individual circumstances that may have significantly constrained a member of staff’s ability to produce four outputs or to work productively throughout the assessment period, and reduce the number of outputs required accordingly. The quality of the outputs for such staff will be assessed in the same manner as those without individual circumstances. This approach is in line with REF guidance.

34. The following list identifies individual circumstances where one or more of the circumstances may have constrained a member of staff’s ability to produce four outputs or to work productively throughout the assessment period:

- Clearly defined circumstances
  - early career researchers (according to REF definition [http://www.ref.ac.uk/pubs/2011-02/](http://www.ref.ac.uk/pubs/2011-02/))
  - part-time working
  - maternity, paternity or adoption leave
  - secondments or career breaks outside higher education, and in which the individual did not undertake academic research
  - junior clinical academic staff who have not gained a CCT (Certificate of Completion of Training) by 31 October 2013
  - Category C staff who are employed primarily as clinical, health or veterinary professionals (for example by the NHS), and whose research is primarily focused in the submitting unit
• Circumstances that are more complex
  o disability
  o ill-health or injury
  o mental health conditions
  o constraints related to pregnancy or maternity (in addition to a clearly defined period of maternity leave – e.g. medical issues, health and safety restrictions in lab or field work, constraints on ability to travel to undertake fieldwork)
  o childcare or other caring responsibilities
  o gender reassigment
  o other circumstances relating to characteristics protected by the Equality Act 2010 (age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation)

35. All staff will be made aware of the disclosure form attached as Appendix C and will be encouraged to complete this form regarding their individual circumstances (even where there are none). Staff who believe that their volume of research output has been significantly adversely affected by individual circumstances are especially encouraged to declare. Completed forms should be sent to the Equality and Diversity Manager, Keppel Street. All submitted information will remain confidential. Staff may contact the Equality & Diversity Manager or the Vice Director for any advice in the first instance.

36. All declarations will be considered in confidence by the Vice Director and the Equality and Diversity Manager. It may be necessary to consult with a relevant member of the REF Advisory Group for guidance on appropriate output reductions. The REF Advisory Group member would not be made aware of the identity of the affected staff member or their circumstances, only the extent to which their research was impacted. The affected staff member would be notified of this in advance to obtain their agreement.

37. The Vice Director will make a recommendation to SLT on the reduction of outputs based on an assessment of the declared individual circumstances and/or ‘clearly defined circumstances’ known from staff records. The recommendation will be in line with the allowable reductions and guidelines set out in REF 2014 Panel Criteria and Working Methods (http://www.ref.ac.uk/pubs/2012-01/) and the Equality Challenge Unit (http://www.ecu.ac.uk/our-projects/REF ). In the event of an appeal (see section F) it may be necessary to inform the appeal panel about recommendations concerning reduction in outputs; the details of the individual circumstances would only be made available with the permission of the affected staff member.

38. As part of its REF submissions, the School will also need to provide an explanation of any individual staff circumstances which it wishes to be taken into account. Information which members of staff provide in their disclosure
forms or from staff records may therefore be included in the submission.

a. For clearly defined circumstances, submissions must include sufficient details of the individual’s circumstances to show that the criteria have been applied correctly. The panel secretariat will examine the information in the first instance and advise the sub-panels on whether sufficient information has been provided and the guidance applied correctly. The information will be kept confidential to the REF team and panel members and will be destroyed on completion of the REF.

b. All submitted complex circumstances will be considered by the REF Equality and Diversity Advisory Panel (EDAP), on a consistent basis across all UOAs. The EDAP will make recommendations about the appropriate number of outputs that may be reduced without penalty to the relevant main panel chairs, who will make the decisions. The relevant sub-panels will then be informed of the decisions and will assess the remaining outputs without any penalty. To enable individuals to disclose the information in a confidential manner, information submitted about individuals’ complex circumstances will be kept confidential to the REF team, the EDAP and main panel chairs, and will be destroyed on completion of the REF.


39. The School will use the template provided by the Equality Challenge Unit for gathering the necessary information, which is included at Appendix C, and information on ‘clearly defined circumstances’ from staff records.

40. The completed disclosure form should therefore include as much information as the individual feels is relevant and appropriate. But it must include as a minimum:

a. a broad description of the nature of the circumstances (e.g. ill-health, periods of maternity leave);

b. the timing of circumstances, i.e. when they occurred;

c. the duration of the circumstances;

d. the extent of the impact of the circumstances on the individual’s ability to carry out research activities (e.g. impossible to carry out research at all, roughly 50% reduction in time available).

41. Members of staff do not need to provide information regarding any individual circumstances that have not adversely affected their capacity to undertake research.

42. Where members of staff identify individual circumstances, it is the quantity, not the quality, of the work which they put forward for the REF which will be reduced.
F. Appeals

43. A member of staff who fulfils the funding councils’ definition of REF eligible staff but whose work SLT judges should not be included in the School’s submissions may request an appeal if they believe:
   
   - any ‘individual circumstances’ which they have identified as outlined in section E have not been given appropriate consideration;
   - the procedure outlined in this Code of Practice has been applied incorrectly.

44. A request for an appeal hearing must be lodged with the Director of Human Resources within ten working days from the date of the written notification of SLT’s decision.

45. The request for an appeal must be made in writing and set out the full grounds for the request for an appeal hearing. The Director of Human Resources may reject any such request that is received out of time.

46. The Director of Human Resources will set up an Appeal Panel constituted as follows:
   
   - two members of academic staff selected from Senate, and one from the Equal Opportunities Committee:
     - none of whom shall be from the same Faculty/Department as the member of staff making the appeal
     - nor be members of SLT
     - nor have been previously otherwise involved in the decision not to include their work in the REF submission;
   - the Director of Human Resources will appoint one of the three members as Chair;
   - the Equality & Diversity Manager will act as Secretary to the panel.

47. The member of staff making the appeal will be notified of the membership of the Panel, and will receive reasonable written notice (normally at least 5 working days, but less by mutual agreement) of the date of the appeal hearing. The member of staff will be entitled to:
   
   - the opportunity to be accompanied by a trade union representative or a person of their own choice for the purpose of presenting their case;
   - postpone the meeting to another reasonable time within 5 working days of the original date, if their representative will not be available at the time proposed;
   - have access to the information available to SLT and the REF Advisory Group regarding their own research output and where relevant any recommendations/information concerning their individual circumstances;
• present their perspective of the issues under consideration;
• receive written notification of the panel’s decision.

The Director will nominate a member of SLT to attend the appeal hearing and to report the reasons for its decision.

The Panel hearing the appeal will:

• conduct the meeting to establish the relevant facts, ensuring that proceedings are consistent with the requirements of fairness and the provisions of this Code of Practice;
• allow all parties to:
  - hear the case of the other side
  - put their side of the matter
  - ask questions, present evidence and call witnesses;
• have access to the information available to SLT and the REF Advisory Group regarding the member of staff’s research output and where relevant any recommendations concerning their individual circumstances (the details of the individual circumstances would only be made available with permission from the affected staff member).

48. Having heard the appeal, the panel will in private:

• consider valid grounds of appeal;
• reject any invalid grounds of appeal;
• make one of the following decisions:

  (a) to uphold part or all of the member of staff’s appeal. If this is the case, the panel will recommend to the Director a fair and proportionate course of action for redressing the concerns raised, taking into account the academic, strategic and financial interests of the School, and the member of staff; or
  (b) to dismiss the member of staff’s appeal.

49. The panel will confirm its decision and the reasons for it, in writing to the member of staff and the Vice Director, within 5 working days of the hearing.

50. There is no further right of appeal under this procedure. The employee is entitled to raise any further grievance through the School’s Grievance Procedures.

51. Appeals on any other basis other than those set out in paragraph 43 will be dealt with through the School’s Grievance Procedures.
G. Dissemination of the Code

52. Through this Code of Practice the School is demonstrating its commitment to the fair and transparent selection of staff for including in its submissions to the REF. Transparency will be achieved through the following programme of dissemination:

- the Code of Practice will be published on the website;
- hard copies will be made available in accessible formats if requested;
- electronic copies will be sent to all academic staff (including those based overseas) by email, and
- it will be drawn to the attention of staff absent from work.
Appendix A

Committees, groups and individuals involved in preparing the School’s REF submissions

The following table sets out the membership of the Committees and groups that will be involved in preparing the School’s submissions, the responsibilities of relevant Committees, groups and individuals regarding the REF, and the steps taken to ensure that those involved are aware of their own and the School’s obligations regarding equality and diversity.

<table>
<thead>
<tr>
<th><strong>Senior Leadership Team (SLT)</strong></th>
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<tbody>
<tr>
<td><strong>Membership and Terms of Reference</strong></td>
<td>Constitution and terms of reference are at Appendix D or <a href="http://intra.lshtm.ac.uk/management/committees/smt/index.html">http://intra.lshtm.ac.uk/management/committees/smt/index.html</a> SLT is responsible for leadership of the School. SLT advise the Director on matters for which he has sole responsibility. The Director has overall responsibility for the executive management of the School and is accountable to Council.</td>
</tr>
<tr>
<td><strong>Selection Process</strong></td>
<td>The members of SLT are appointed to the Committee <em>ex officio</em>, in accordance with the constitution above. All are senior members of School staff. The Director and senior staff of the School are appointed to their substantive posts through open advertisement, in line with the School’s Recruitment and Selection Guidelines, and complying with its Equality and Diversity Strategy.</td>
</tr>
<tr>
<td><strong>Responsibilities in relation to the REF</strong></td>
<td>SLT will be responsible for the content and structure of the School’s final submissions to the REF including taking decisions - on the advice of the REF Advisory Group - regarding the inclusion/exclusion of individuals. SLT will consider the equality impact assessments on the REF submission process before agreeing the final submission.</td>
</tr>
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<td><strong>Equality &amp; Diversity</strong></td>
<td>Members of SLT will undertake centrally provided equality and diversity training since the introduction of the Equality Act 2010, in addition to training tailored to the REF.</td>
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<th><strong>REF Advisory Group</strong></th>
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<tbody>
<tr>
<td><strong>Membership and Terms of Reference</strong></td>
<td>Constitution and terms of reference are at Appendix E or <a href="http://intra.lshtm.ac.uk/support/research/ref2014/index.html">http://intra.lshtm.ac.uk/support/research/ref2014/index.html</a> The REF Advisory Group reports to SLT. As part of the preparations, the work may be separated across two REF Advisory Groups, each responsible for a submission: UoA 1 Clinical Medicine and UoA 2 Public Health, Health Services &amp; Primary Care.</td>
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## Selection Process

The REF Advisory Group is chaired by the Vice Director and Deans of Faculties are also members; all are members of SLT. Members of the Advisory Groups were appointed by SLT, based on their knowledge and experience of research in areas relevant to the Unit of Assessment.

## Responsibilities in relation to the REF

The REF Advisory Group will be responsible for advising SLT on the content of REF submissions, including: the members of staff and research outputs included, the research profile and contribution of potential Category C staff, research strengths to be highlighted in the submission, selection and content of impact case studies, other evidence of impact/esteem to be included in the submission, and where appropriate on the allocation of members of staff between UoAs. The REF Advisory Group may delegate the review of outputs to sub-groups with relevant expertise in specific areas of research. The REF Advisory Group will **not** take decisions regarding the inclusion/exclusion of individuals.

## Equality & Diversity

All members of the Groups will undertake centrally provided equality and diversity training since the introduction of the Equality Act 2010, in addition to training tailored to the REF.

### Deans of Faculty/Heads of Department

| Membership | Deans and Heads of the School’s academic Faculties and Departments are listed on its web pages at [http://www.lshtm.ac.uk/faculties/](http://www.lshtm.ac.uk/faculties/) |
| Selection Process | Deans of Faculty are appointed internally by the Director following consultation with the staff of the relevant Faculty. Heads of Department are appointed internally by the Director, on the recommendation of the relevant Dean of Faculty. |
| Responsibilities in relation to REF 2014 | Senior staff may serve as members of the REF Advisory Group, and in this role will fulfil the responsibilities set out above. Deans of Faculty are members of SLT and the REF Advisory Group. In their capacity as Deans of Faculty/Heads of Department, Deans/Heads will advise members of staff regarding their research profile and the work which they put forward for inclusion in the School’s REF submissions. They will assist the REF Advisory Group and Vice Director in the formulation of the School’s submissions (through, for example, the provision of additional factual information regarding research activities within their Faculty/Department that may be needed for the textual part of the submissions). Deans of Faculty will notify staff that SLT judges will not be included in the School’s submissions, and provide advice feedback, support |
Code of Practice on the selection of staff for the REF

Submission to the 2014 Research Excellence Framework

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<th>Equality &amp; Diversity</th>
<th>and guidance as appropriate. Other than in their role as members of SLT, Deans will not take decisions regarding the inclusion/exclusion of individuals.</th>
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<td></td>
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<th>Vice Director</th>
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<td>Selection Process</td>
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<th>External Advisers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Membership</td>
</tr>
<tr>
<td>Selection Process</td>
</tr>
</tbody>
</table>
| Responsibilities in relation to REF 2014 | Where judged appropriate by SLT or the REF Advisory Group, external advisers will be asked to provide expert feedback on drafts of the School’s submissions, or on particular aspects of draft submissions. External Assessors will not take decisions regarding the
Members of Appeals Panels

| Membership | Members of panels will be selected by the Director of Human Resources, if required, from the academic staff members of Senate and the Equal Opportunities Committee. |
| Selection Process | Three members will be appointed per appeal panel. Members will not be from the same Faculty/Department as the member of staff making the appeal, nor be members of SLT, nor have been previously otherwise involved in the decision not to include the appellants work in the REF. |
| Responsibilities in relation to REF 2014 | To hear appeals in relation to the selection of staff for REF, in accordance with the process set out in section F of this Code of Practice. |
| Equality & Diversity | Members will receive copies of this Code of Practice and specific guidance and training on equality issues from the Equality and Diversity Manager. |

Equal Opportunities Committee

| Membership | The membership and terms of reference of the Committee are as set out at http://intra.lshtm.ac.uk/management/committees/equalopps/index.html |
| Selection Process | A number of members are appointed to the Committee ex officio, in accordance with the constitution above. Other members represent staff within each Academic Faculty. The membership also includes representatives of each of the School’s recognised trade unions. |
| Responsibilities in relation to REF 2014 | To consider impact assessments in relation to the REF and to contribute to and agree this Code of Practice. Members may be appointed to an Appeal Panel, if required. |
| Equality & Diversity | Members undertake Equality and Diversity Awareness training, as part of the School’s Staff Development programme. The Committee will receive briefings on equalities issues related to the REF, as appropriate. |
Appendix B

References and web links

Further information about the 2014 REF is available from the School's intranet, or from the UK funding councils’ REF web-site:

School’s REF intranet pages:  
http://intra.lshtm.ac.uk/support/research/ref2014/

REF 2014 pages:  
http://www.ref.ac.uk/

Equality Challenge Unit guidance - Research Excellence Framework and equality  
http://www.ecu.ac.uk/our-projects/REF
Appendix C

Please complete the information required in the form and return to Hilary Lowe, Equality and Diversity Manager, Keppel Street

INDIVIDUAL STAFF CIRCUMSTANCES DISCLOSURE FORM REF 2014

Name
Department
Faculty

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

Section two:
Please select as appropriate:
☐ I would like to be contacted by the Equality & Diversity Manager to discuss my circumstances and requirements and/or the support provided by LSHTM. My contact details for this purpose are:

<table>
<thead>
<tr>
<th>Email</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Telephone</td>
<td></td>
</tr>
<tr>
<td>Preferred method of communication</td>
<td></td>
</tr>
</tbody>
</table>

☐ I do not wish to be contacted by the Equality & Diversity Manager

Section three
I wish to make the School aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 December 2013
Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:

<table>
<thead>
<tr>
<th>Circumstance</th>
<th>Information required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Early career researcher (started career as an independent researcher on or after 1 August 2009)</td>
<td>Date on which you became an early career researcher</td>
</tr>
<tr>
<td>Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013</td>
<td>Please place a tick in this box if the circumstance applies:</td>
</tr>
<tr>
<td>Part time employee</td>
<td>FTE and duration in months</td>
</tr>
<tr>
<td>Career break or secondment outside of the higher education sector</td>
<td>Dates and duration in months</td>
</tr>
<tr>
<td>Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)</td>
<td>For each period of leave state which type of leave was taken and the dates and duration in months</td>
</tr>
<tr>
<td>Disability (including conditions such as cancer and chronic fatigue)</td>
<td>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</td>
</tr>
<tr>
<td>Mental health condition</td>
<td>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</td>
</tr>
<tr>
<td>Ill health or injury</td>
<td>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</td>
</tr>
<tr>
<td>---------------------</td>
<td>------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td><strong>Information</strong></td>
</tr>
<tr>
<td>Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <strong>in addition to</strong> the period of maternity, adoption or additional paternity leave taken.</td>
<td>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</td>
</tr>
<tr>
<td></td>
<td><strong>Information</strong></td>
</tr>
<tr>
<td>Other caring responsibilities (including caring for an elderly or disabled relative)</td>
<td>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</td>
</tr>
<tr>
<td></td>
<td><strong>Information</strong></td>
</tr>
<tr>
<td>Gender reassignment</td>
<td>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</td>
</tr>
<tr>
<td></td>
<td><strong>Information</strong></td>
</tr>
<tr>
<td>Other exceptional and relevant reasons, not including teaching or administrative work</td>
<td>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</td>
</tr>
<tr>
<td></td>
<td><strong>Information</strong></td>
</tr>
</tbody>
</table>
Code of Practice on the selection of staff for the REF

Submission to the 2014 Research Excellence Framework

Please select as appropriate:

☐ I confirm that the information provided is a true and accurate description of my circumstances.

☐ I recognise that the information provided will be used for REF purposes and will be seen by the Vice Director and the Equality and Diversity Manager.

☐ I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel.

Signature: ............................................................................................................ Date: ..........................
(Staff member)
Following consideration of the personal circumstances described above, the Senior Leadership Team:

- Will progress the staff member’s inclusion in the REF submission with [insert number] of research outputs. [Subject to specified institutional criteria].
  Rationale for the proposed number of outputs:
  e.g. this decision is based on the tariffs outlined in the panel criteria.

- Requires further information of the circumstances described as follows:
  e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.

- Does not feel that the staff member meets the criteria outlined within the REF ‘Panel criteria and working methods’ for submitting fewer than four research outputs. The reason(s) for this decision are:
  e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.

If [insert name of staff member] wishes to appeal against the decision of the [insert name of the committee or individuals] they will need to do so by [insert date] and details of the appeals process can be found at [insert web address].

Signature: ................................................................. Date: .................................
(Professor Anne Mills, Vice Director)

Signature: ................................................................. Date: .................................
(Hilary Lowe, Equality & Diversity Manager)
Appendix D
SENIOR LEADERSHIP TEAM

CONSTITUTION & TERMS OF REFERENCE

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director (Chair of SLT)</td>
<td>Peter Piot</td>
</tr>
<tr>
<td>Vice Director for Academic Affairs</td>
<td>Anne Mills</td>
</tr>
<tr>
<td>Dean, Faculty of EPH</td>
<td>Laura Rodrigues</td>
</tr>
<tr>
<td>Dean, Faculty of ITD</td>
<td>Simon Croft</td>
</tr>
<tr>
<td>Dean, Faculty of PHP</td>
<td>Richard Smith</td>
</tr>
<tr>
<td>Dean of Studies</td>
<td>Sharon Huttly</td>
</tr>
<tr>
<td>Secretary &amp; Director of Resources &amp; Planning</td>
<td>Richard Benson</td>
</tr>
<tr>
<td>Chief Operating Officer</td>
<td>Andrew Young</td>
</tr>
<tr>
<td>Director of External Relations</td>
<td>Ann Fazakerley</td>
</tr>
<tr>
<td>Executive Officer</td>
<td>Frances Fowler</td>
</tr>
</tbody>
</table>

Members will **not** be represented by deputies *in absentia*.

Other LSHTM staff members will be invited to attend meetings as required.

**QUORUM:** Minimum attendance 6 members, of whom there should be either the Director or Vice Director for Academic Affairs, two deans of faculty and representation from Central Services.
REMIT

• **School body** (i.e. taking a collective overview of and responsibility for School-wide issues; members will not act as representatives of any specific faculty, division or other groupings)

• **School’s Leadership body**

  Responsible for:
  
  o LSHTM strategic decisions
  o prioritisation and oversight of external partnerships
  o prioritisation for big investments (N.B. investment over £250k is approved by the Planning and Finance Committee)
  o reviewing internal organisation, systems, procedures, policies
  o forecasting and understanding change (external and internal) and agreeing LSHTM’s approach/ response

  Management and implementation to be undertaken by identified individuals and committees.

  As necessary, the Senior Leadership Team will advise the Director on matters for which he has sole responsibility. For clarification, the Director has overall responsibility for the executive management of the School and is accountable to Council for these.

FREQUENCY OF MEETINGS

• *Regular meetings*: fortnightly. [From 1 September 2011, meetings at 15.30 – 17.30 on Mondays. Papers to be made available by 12 noon the previous Wednesday.]

• *Retreats*: 3 per annum - one day retreats in spring, summer and autumn.

*Agenda:*

• Items to be proposed by SLT members to Executive Officer.

• To be limited to 4-5 items per meeting, for information, advice, or decision.

REVIEW OF SLT

Regular reviews of the remit, membership, function and effectiveness of the Senior Leadership Team will be undertaken every 6 months.

**Constituted 1 September 2011**
Appendix E

REF 2014: REF Advisory Group

Terms of Reference

Responsibility for the School’s final REF submissions rests with the Senior Leadership Team (SLT). SLT will be responsible for the content and structure of the final REF submissions, including final decisions regarding the members of staff and research outputs included in each submission.

SLT will be advised in this role by the REF Advisory Group, with expertise in the areas covered by the two Units of Assessment (UoA) to which the School expects to submit work for assessment. These UoA are: Clinical Medicine (which will cover research in areas submitted to the Infection and Immunology sub-panel in the 2008 RAE) and Public Health, Health Services and Primary Care (which will cover areas submitted in the 2008 RAE to the sub-panels for Epidemiology and Public Health and Health Services Research). The work of the REF Advisory Group may separate into two groups to undertake detailed preparations for the submission.

The REF Advisory Group will be chaired by the Vice Director.

The REF Advisory Group will:

(i) Receive and review reports from Faculties on staff publications and proposals for impact case studies

(ii) Advise SLT on the content of School’s submission to the relevant UoA, including:
• the members of staff and research outputs to be included in the submission
• the research profile and contribution of potential members of any honorary members of staff to be included in the submission
• research strengths to be highlighted in textual parts of the submission
• the selection and content of impact case studies
• other evidence of impact and/or esteem to be included in the submission

(iii) Advise SLT where appropriate on the allocation of members of staff between UoAs

(iv) Work with Faculties to draft the impact case studies and other textual parts of the submission

(v) Review data compiled for dry runs of the submission and advise SLT on the current profile of the UoA

(v) Report to SLT as required on the work of the Group.

Constitution

• Vice Director (Chair)

members to be co-opted by the Chair from:
• Deans of Faculties, or their nominees
Code of Practice on the selection of staff for the REF

Submission to the 2014 Research Excellence Framework

- Heads of Departments
- members of academic staff with knowledge and experience of the RAE and relevant research.

REF Advisory Group - Membership

The REF Advisory Group will be chaired by the Vice Director, Professor Anne Mills.

Anne Mills (Chair)
Daniel Chandramohan
Simon Croft
Hazel Dockrell
John Edmunds
Phil Edwards
Mike Kenward
Dave Leon
David Mabey
Nick Mays
Eleanor Riley
Laura Rodrigues
Peter Smith
Richard Smith
Paul Wilkinson
Brendan Wren

In attendance:

Richard Benson
Ann Fazakerley
Caroline Lloyd
Andy Reid
Hilary Hunter

October 2012