

## London School of Hygiene & Tropical Medicine Code of Practice for REF 2021

### Part 1: Introduction

#### Background

1. The Research Excellence Framework (REF) 2021 is the system used by the four UK Higher Education funding bodies for assessing research in UK higher education institutions. It was first conducted in 2014, and replaced the previous Research Assessment Exercise (RAE).
2. The primary purpose of REF 2021 is to produce assessment outcomes for each submission made by institutions. These outcomes deliver the wider threefold purpose of the exercise:
  - a) The assessment outcomes will be used to inform the selective allocation of the funding bodies grant for research to institutions, with effect from 2022–23.
  - b) The assessment provides accountability for public investment in research and produces evidence of the benefits of this investment.
  - c) The assessment outcomes provide benchmarking information and establish reputational yardsticks, for use within the higher education sector and for public information.
3. Each institution making a submission to REF is required to develop, document and apply a Code of Practice on determining who is an independent researcher and the selection of outputs in their REF submissions, including approaches to supporting staff whose circumstances may have affected an individual's ability to work productively throughout the REF assessment period (individual circumstances). When making the submission to the funding bodies in November 2020, the head of each institution must confirm that this code has been adhered to. Detailed guidance on the REF 2021 submission is available at <https://www.ref.ac.uk/guidance/key-documents/>.
4. This Code of Practice sets out the governance arrangements, procedures and timetable that will be followed by the London School of Hygiene & Tropical Medicine (LSHTM) for preparing its submission to REF 2021. The Code is designed to ensure that the School adopts a fair and transparent process for determining who is an independent researcher and the selection of outputs for its REF submission. It also outlines the approaches that will be used to support staff with individual circumstances. This code will ensure that the process for preparing the School's REF 2021 submission is transparent and undertaken in such a way as to promote equality, avoid discrimination and comply with all relevant legislation.
5. Responsibility for the School's final REF submissions rests with the Director who has overall responsibility for the executive management of the School, advised by the Senior Leadership Team, and is accountable to the School's Council. The Senior Leadership Team will be responsible for recommending the content and structure of the final REF submissions, including final decisions regarding the research outputs and impact case studies included in each submission.
6. The Director and Senior Leadership Team will be guided 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: UoA1 Clinical Medicine and UoA2 Public Health, Health Services and Primary Care. The REF Advisory Group is chaired by the Deputy Director & Provost, and membership includes Deans of Faculties, all of whom are also members of the Senior Leadership Team. The REF Advisory Group may delegate the review of outputs to sub-groups with relevant expertise in specific areas of research. Appendices 1-3 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).

7. The School's objective in preparing its submission for REF 2021 will be to achieve the strongest possible quality profile, whilst also maximising future levels of income to support the long-term development and sustainability of the School. LSHTM's Strategy 2017-2022 includes the objective to 'recruit, develop and retain outstanding and diverse researchers' and the School greatly 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 fulfils all of its responsibilities under the Equality Act 2010 and relevant employment law.
8. 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 research independence and selection of outputs 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 support 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 Research England income;
  - vi. define the responsibilities of those involved in the decisions on the REF submission and identify the specific training on equality that will be provided, and
  - vii. inform all members of School staff of the processes that will be followed in preparing its REF submissions, and of their right to appeal.
9. The Code of Practice was considered by the REF Advisory Committee on 14 May 2019 and the Senior Leadership Team on 23 May 2019. The draft Code of Practice has been shared with the Chair of the People Committee for review; the People Committee is a sub-Committee of Council and has responsibility for matters related to equality, diversity and inclusion. Staff trade unions were invited to comment on the draft Code of Practice by 5 June 2019 and the draft Code of Practice has been shared with all academic staff via email to their LSHTM email accounts.
10. The School has carried out an Equality Impact Assessment (EIA) on this Code of Practice (see appendix 7). This will be kept under review and further EIAs will be completed as required to ensure that there are no equality barriers.

### **How the code relates to broader institutional policies/strategies that promote and support E&D**

11. The School's mission is to improve health and health equity in the UK and worldwide; working in partnership to achieve excellence in public and global health research, education and translation of knowledge into policy and practice. Key objectives from the School's Strategy 2017-2022 include strengthening support for the professional growth and development of all staff; to foster a thriving, inclusive staff and student community, built on shared values of free-thinking and collaborative working, and to set this within an ethical and healthy environment built on respect, equal opportunities, excellence and creativity; and to recruit, develop and retain outstanding and diverse researchers and educators who produce excellent science and can influence the public and global health agenda, providing equal opportunity for progression.
12. This Code of Practice takes into account the School's legal requirements under the Equality Act 2010, which covers the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation. In addition, under the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 Public Sector Equality Duty, the School must have due regard to the need to: eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
13. The School is committed to ensuring that the procedures undertaken for its REF submission do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.
14. The School recognises the statutory rights of fixed-term employees and part-time workers not to be treated any less favourably than comparable employees on open contracts or full-time workers as outlined in the Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002.
15. The School is committed to ensuring that the procedures undertaken for its REF submission do not treat staff on fixed-term or part-time contracts any less favourably than those on open or full-time contracts.
16. The School is committed to providing a working, learning and social environment which is inclusive and supportive; an environment in which the rights and dignity of all its staff, students and visitors are respected, and which is free from all forms of discrimination, (both direct and indirect), prejudice, intimidation, harassment and bullying, as outlined in the Equality and Diversity Strategy (<https://www.lshtm.ac.uk/aboutus/organisation/governance/equality-diversity-inclusion>).
17. The School is committed to achieving equality and diversity in all areas of its operations and has identified the following strategic priorities:
  - a) Promoting equality and diversity
  - b) Embedding Equality and Diversity into mainstream activities

- c) Increasing knowledge and awareness of equality and diversity issues relating to staff and students and how to address these
  - d) Making successful Athena SWAN and Race Equality Charter Mark applications
  - e) Developing partnerships to involve staff and students in promoting equality and diversity activities throughout the School
18. The School has developed an Equality and Diversity Action Plan to monitor progress on its strategic priorities, which is reviewed annually by the People Committee. The School is in the process of restructuring the support for equality, diversity and inclusion, and is establishing a new Equality, Diversity and Inclusion Committee.
19. The School's People Committee has strategic oversight of, and reviews LSHTM's strategies, plans and objectives in relation to people-related matters, including equality, diversity and inclusion.
20. The School is fully committed to engaging with national equality and diversity charters, it holds a Bronze level Athena SWAN award and the three Faculties within the School hold one Silver and two Bronze Athena SWAN awards. The School is also a Disability Confident Employer and a Stonewall Diversity Champion.
21. Ensuring equality, diversity and inclusion principles are fully embedded in the School's staff review and promotions processes has been a focus for a number of years. A review of the outcomes of our promotions processes is carried out annually to monitor gender equity. An independent audit has recently been conducted to review the policy, practice and application of the promotions process with regard to the consideration of personal circumstances.

**Update of actions taken since REF 2014**

22. The School's Equality Impact Assessment (EIA) from the REF 2014 identified requirements for the collation of staff monitoring data and data on individual circumstances. This data was collected as outlined on the REF 2014 Code of Practice and reviewed by the School's Equality and Diversity Committee and Athena SWAN Committee (both now incorporated into the People Committee) to consider statistics in relation to protected characteristics and identify any actions that may be required.
23. The actions agreed by the Equality and Diversity Committee and School Athena SWAN Committee following review of the REF 2014 are outlined below. The School's Senior Leadership Team has overseen the implementation of these actions.
- a commitment to improved job security by moving Associate Professors from fixed term to permanent contracts
  - the revision of promotion criteria, moving towards to a more flexible portfolio approach
  - offering an extensive career and leadership development programme
  - the establishment of the Strategic Research Office which supports academic staff with identifying funding opportunities and preparing grant and fellowship applications
  - the implementation of a School mentoring scheme
  - a deliberate increase in female committee membership
  - proactive consideration of female staff for nomination for external honours, prizes and election to learned societies

## **How LSHTM is addressing the principles of Transparency, Consistency, Accountability and Inclusivity in demonstrating fairness**

24. The School is committed to ensuring fairness to its staff through the following principles:

**Transparency:** All processes for determining research independence and selecting outputs for inclusion in the School's REF submission will be transparent, as outlined in this Code of Practice. This document has been made publicised to all academic staff across the School via email and on the LSHTM intranet. The final Code of Practice will be sent to all academic staff via email and will be drawn to the attention of those on extended periods of leave ( $\geq 4$  weeks) by sending a copy to their home address by post. The Code of Practice will also be made available in easily accessible formats upon request. The programme of communication activity to disseminate the Code of Practice and explain the processes related to determining research independence and selecting outputs for submission is outlined in paragraphs 25-28. Following approval by the REF Equality and Diversity Advisory Panel, the final Code of Practice will be placed on the LSHTM internet and intranet.

**Consistency:** The procedures for determining research independence and the selection of outputs will be consistent across the School. The Senior Leadership Team will oversee the processes covered by this Code of Practice and ensure that they are applied consistently within each UoA, and across the Faculties and Units within the School.

**Accountability:** Responsibilities for the School's REF submission are clearly defined in this Code of Practice, which identifies individuals and bodies involved in determining research independence and selecting outputs for the REF submission. The terms of reference for all bodies involved with these processes are included as an appendix to this Code of Practice (Appendices 1-3). All individuals involved in the REF submission have completed mandatory LSHTM training courses on Equality and Diversity in Practice and Challenging Unconscious Bias. In addition, staff making decisions about the School's REF submission will be provided with REF-specific equality and diversity training based on that provided by Advance HE in March 2019.

**Inclusivity:** The processes described in this Code of Practice will promote an inclusive environment, enabling the School to identify all staff who are independent researchers, and the research outputs produced by all Category A eligible staff, across all protected groups and by staff with individual circumstances that may have constrained their ability to undertake research during the REF period.

### **How the code is being communicated to staff across the institution**

25. The draft Code of Practice has been sent to all academic staff, including Assistant Professors, Associate Professors and Professors returned to the Higher Education Statistics Agency (HESA) under the category of teaching and research via their LSHTM email account.

26. The draft Code of Practice was made available on the staff intranet (<https://lshtm.sharepoint.com/Research/REF/> – accessible to those with an LSHTM account). Following approval by the REF Equality and Diversity Advisory Panel, the final Code of Practice will be placed on the LSHTM internet (<https://www.lshtm.ac.uk/research>), REF section of the intranet and sent to all academic staff, including Assistant Professors, Associate Professors and Professors returned to the Higher Education Statistics Agency (HESA) under the category of teaching and research via their LSHTM email account. Hard copies of the final approved Code of Practice will be sent to members of this staff group who are

registered as being on an extended period of leave ( $\geq 4$  weeks) by post to their home address.

27. The Code of Practice is available in alternative formats upon request. Please contact the Head of Strategic Research ([Dr Hannah Whiteman](#)) if you require this document in an accessible format, stating the format required.
28. A briefing event has been arranged on 9 September 2019, during the annual LSHTM week event, where all staff are encouraged to be present in London including those based overseas. This has been advertised via email to all staff and will be included in general communications about the LSHTM week event via email, posters and in staff newsletters. This briefing will provide an update on the School's preparations for its REF 2021 submission and will explain the Code of Practice. The briefing will be live streamed to staff who are unable to attend in person, this recording will be made available on the School's REF section of the intranet.
29. Any member of staff with questions about the REF process and Code of Practice should contact the Head of Strategic Research ([Dr Hannah Whiteman](#)). Should any member of staff have concerns that the School is not following the process as outlined in this Code of Practice, they should contact the Deputy Director & Provost ([Professor Dame Anne Mills](#)).

## **Part 2: Identifying staff with significant responsibility for research**

The London School of Hygiene & Tropical Medicine will submit 100 per cent of Category A eligible staff in all UoAs, this section has therefore not been completed.

## **Part 3: Determining research independence**

### **Criteria used for determining staff who meet the definition of an independent researcher, including information about how the criteria are being applied.**

1. The School employs three grades of academic staff that are returned to the Higher Education Statistics Agency (HESA) under the category of teaching and research: Assistant Professors, Associate Professors and Professors. The School considered all staff employed on a teaching and research contract to be independent researchers. All staff at these grades with a contract of employment of 0.2 FTE or greater on the census date of 31 July 2020 will be submitted to the REF.
2. The School employs two grades of staff that are returned to HESA under the category of research only, Research Assistants and Research Fellows. These staff are usually pre-doctoral (Research Assistants) or early postdoctoral (Research Fellows) and are employed to carry out another individual's research programme rather than as independent researchers in their own right. The School does not consider these staff to meet the REF definition of independent researchers and these staff will not be submitted to the REF unless evidence of independence can be demonstrated (as set out in paragraphs 131-133, [REF 2021 Guidance on Submissions](#)). For the purposes of REF 2021, a member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs. Anyone at these grades having secured a fellowship that is listed on the Research England List of Independent Research Fellowships will be considered to be independent and included in the School's REF submission.
3. All other staff employed at Research Assistant and Research Fellow grades will be considered to be ineligible for submission to REF2021 unless they can provide evidence of research independence using the following indicators:

- leading or acting as principal investigator or equivalent on an externally funded research project
- holding an independently won, competitively awarded fellowship where research independence is a requirement.
- leading a research group or a substantial or specialised work package.

**How decisions are being made and communicated to staff, including timescale**

4. Staff employed at Research Assistant and Research Fellow grades will be able to submit a request to be included in the REF submission by completing an application to be considered an independent researcher (Independent Researcher Application Form and Guidance - Appendix 5) at any point until the census date of 31 July 2020. All staff will be informed about the opportunity to submit an application in December 2019 by email to their LSHTM email account. Reminders will be sent by email every three months until the census date and this opportunity will be publicised in Faculty newsletters. All applications should be submitted to [ref@lshtm.ac.uk](mailto:ref@lshtm.ac.uk).
5. In the application, the staff member will be asked to demonstrate that they meet the REF definition of research independence as outlined above. The School expects applicants to meet at least two of the above criteria in order to be considered an independent researcher. All applications must be accompanied by statements of support from the individual's line manager and Dean of Faculty/Unit Director.
6. Applications to be considered an independent researcher will be reviewed by the REF Advisory Group, which meets every two months. The Group will consider the case made against the REF 2021 criteria for research independence and each application will be considered solely on its merits. The decisions of the REF Advisory Group for all applications for research independence will be reported to the Senior Leadership Team for ratification. The equality impacts of all decisions will be monitored.
7. All applicants will be provided with written feedback on the decision within two weeks of the Senior Leadership Team ratification meeting, this will be sent to their LSHTM email account and will be copied to their line manager. Staff will be able to appeal against the decision if they believe that the REF Advisory Group and the Senior Leadership Team failed to give full consideration to the application (see paragraphs 14 to 22 below for appeals process).
8. The decision to include a member of staff employed at Research Assistant and Research Fellow grades in the REF will be used solely for the purposes of the School's REF submission and will have no impact on promotion applications or staff review processes.

**Staff, committees and training**

9. Responsibility for the School's final REF submissions rests with the Director, advised by the Senior Leadership Team. The Senior Leadership Team will be responsible for making recommendations to the Director on the content and structure of the final REF submissions, including final decisions regarding the research outputs and impact case studies included in each submission.
10. The Senior Leadership Team 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: UoA1 Clinical Medicine and UoA2 Public Health, Health Services and Primary Care. The terms of reference and membership of the Senior Leadership Team and REF Advisory Group are provided in appendices 1 and 2, respectively.

11. Both the Senior Leadership Team and REF Advisory Group are supported by secretariats, which are responsible for the preparation of meeting papers and minutes of each meeting.
12. All applications to be considered an independent researcher will be reviewed by the REF Advisory Group, and these decisions will be reported to the Senior Leadership Team for ratification.
13. All individuals involved in the REF submission have completed mandatory LSHTM training courses on Equality and Diversity in Practice and Challenging Unconscious Bias. In addition, members of the REF Advisory Group who perform an advisory role for the School's REF 2021 submission and the Senior Leadership Team who make decisions about the School's REF 2021 submission, including members of Appeals Panels will be provided with REF-specific equality and diversity training based on that provided by Advance HE in March 2019. The REF-specific training will be delivered to the Senior Leadership Team and REF Advisory Group by December 2019 and will cover an overview of the relevant legislation; the importance of equality in REF2021; unconscious and conscious bias as related to REF 2021; and how to embed equality and mitigate bias in determining research independence, selecting outputs, considering individual staff circumstances and selecting impact case studies for REF 2021. Training materials will be made available on the REF section of the intranet as a reference and to ensure that the process is transparent.

#### **Appeals**

14. All applicants will be provided with the decision and written feedback within two weeks of the Senior Leadership team ratification meeting, this will be sent to their LSHTM email account and will be copied to their line manager. Staff will be informed as part of the feedback that they are able to appeal against the decision if they believe that the REF Advisory Group failed to give full consideration to the application, incorrectly applied the REF criteria for determining research independence or did not follow the process for determining research independence outlined above.
15. Appeals must be submitted in writing to [refappeals@lshtm.ac.uk](mailto:refappeals@lshtm.ac.uk) within ten working days from the date of written notification of the decision. This must explain in detail the reasons for appeal and cannot include additional evidence of independence. Any requests received after ten working days may be rejected.
16. To manage appeals, the Director of Human Resources will set up an Appeal Panel constituted as follows:
  - a) Two members of academic staff, and one from the People Committee (or planned Equality, Diversity and Inclusion Committee), none of whom shall be from the same Faculty/Unit/Department as the member of staff making the appeal nor members of the Senior Leadership Team nor be members of the REF Advisory Group nor have been previously otherwise involved in the decision.
  - b) The Director of Human Resources will appoint one of the three members as Chair;
  - c) The Equality, Diversity and Inclusion Manager will provide the secretariat to the Panel.
17. The member of staff making the appeal will be notified of the membership of the Panel, and will receive reasonable written notice (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:

- a) the opportunity to be accompanied by a trade union representative or a work colleague of their own choice for the purpose of presenting their case;
  - b) 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;
  - c) present their perspective of the issues under consideration;
  - d) receive written notification of the Panel's decision.
18. The Director will nominate a member of the Senior Leadership Team to attend the appeal hearing and report the reasons for its original decision on the application.
19. The Panel hearing the appeal will:
- a) 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;
  - b) allow all parties to: hear the case of the other side; put their side of the matter; ask question and present evidence; and have access to the information presented to the Senior Leadership Team and REF Advisory Group as part of the decision making process.
20. Having heard the appeal, the Panel will in private:
- a) consider valid grounds of appeal;
  - b) reject any invalid grounds of appeal;
  - c) make the decisions to uphold the member of staff's appeal or dismiss the member of staff's appeal.
21. The Panel will confirm its decision and the reasons for it, in writing to the member of staff, the individual's line manager, Dean of Faculty/Unit Director and Deputy Director & Provost, within 5 working days of the hearing.
22. There is no further right of appeal under this procedure.

#### **Equality Impact Assessment**

23. The School will monitor the profile of staff on research only HESA codes that have applied to be considered as independent, this will be compared with the equality profile of all staff at those grades. 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. The Equality Impact Assessments will be undertaken by the Deputy Director & Provost, Head of Strategic Research and the Equality, Diversity and Inclusion Manager.

#### **Part 4: Selection of outputs**

##### **Policies and procedures**

1. When selecting outputs for submission to REF 2021, the Senior Leadership Team, with advice from the REF Advisory Group, will focus on the quality of the research outputs, which meet the REF definition of research - as a process of investigation leading to

new insights, effectively shared. Outputs will be assessed in terms of their originality, significance and rigour, with reference to international research quality standards.

2. As part of the School's mock REF exercise, all academic staff on HESA teaching and research codes (Assistant Professors, Associate Professors and Professors) with a contract of employment of 0.2 FTE or greater were asked to identify for consideration up to six outputs that they consider represent their strongest work for the REF. The selection of papers took place between November 2018 and March 2019.
3. The outputs selected by each member of staff were assessed by Professors at the School via a mock REF exercise. The Professors were provided with guidance based on the REF 2021 draft Guidance on Submissions and Panel Criteria and Working Methods, and were asked to score each output allocated to them using the REF 2021 scoring criteria. Staff members were randomly allocated to Professors for review, excluding those with whom any outputs had been co-authored within the REF period.
4. The outcomes from the mock REF exercise are being considered by the REF Advisory Group and Senior Leadership Team against the published criteria in the final REF 2021 [Guidance on Submissions](#) and [Panel Criteria and Working Methods](#). The REF Advisory Group and Senior Leadership Team may review other publications produced by an individual, and consider these for inclusion in the REF, if those initially identified are not appropriate or if another member of staff has submitted the same output.
5. Outputs produced following the mock REF exercise will be reviewed by members of the REF Advisory Group and Senior Leadership Team for consideration for inclusion in the School's REF submission.
6. The Senior Leadership Team may seek external advice as part of these reviews, where it is considered necessary to assess the quality of research in a particular area or to obtain additional advice on the submission as a whole.
7. The School may include outputs attributed to former members of staff who are not employed by the School on the census date. It is anticipated that this will form a very small proportion of the School's submission. The publications will be identified by members of the Senior Leadership Team, namely the Deputy Director & Provost and the Deans of Faculty/Unit Directors, and will be subject to the mock REF exercise process as outlined above. Human Resources will be asked to confirm that the former member of staff was Category A eligible immediately prior to the end of their employment at the School.
8. The School undertakes not to include outputs produced by members of staff who were made redundant by the School during the REF period, unless this was a result of the end of a fixed term contract linked to a research grant/external funding. Human Resources will be responsible for confirming this. The exception to this will be co-authored outputs that are attributed to a current member of staff for the submission.
9. The School's objective in preparing its submission for REF 2021 will be to achieve the strongest possible quality profile, whilst also maximising future levels of income to support the long-term development and sustainability of the School. A minimum of one output and a maximum of five outputs will be submitted for each Category A submitted staff member. The number of outputs attributed to staff members will vary between one and five to support the School's objective to achieve the strongest possible quality profile. Within this output range, the number of outputs selected for any one staff member will vary depending on their contribution to maximizing the quality profile.
10. The REF Advisory Group and Senior Leadership Team will select outputs as follows:

- The highest scoring outputs from the mock REF exercise from each individual Category A submitted staff will be selected to ensure that each member of staff has the minimum of one output.
- The remaining output pool will be selected by identifying the highest scoring publications remaining across the pool of available outputs working down from 4\* to 1\*, ensuring that no member of staff has more than five outputs attributed to them and that no more than 5% of the selected outputs are non-compliant with the REF Open Access Policy.
- Outputs that are co-authored with other members of Category A submitted staff in the same UoA, will be allocated to authors to ensure that the highest scoring outputs are included in the submission while also ensuring that the minimum of one and no more than five outputs are attributed to a single individual.

11. It is not anticipated that any outputs will be submitted for double weighting.
12. The final decisions on the submission of outputs will be made by the Director, following advice by the Senior Leadership Team and REF Advisory Group. As the selection of outputs is based on academic judgement and has no implications for the position of individual members of staff, no appeals process will be provided for the selection of outputs.
13. Should any member of staff be concerned that this Code of Practice is not being applied correctly, they can notify Research England via [info@ref.ac.uk](mailto:info@ref.ac.uk).

#### **Staff, committees and training**

14. The staff and committees involved in the selection of outputs are the same as those involved in determining research independence, therefore please refer to Part 3 paragraphs 9 –13 for details.
15. All Professors involved in the review of outputs for the mock REF exercise have completed mandatory LSHTM training courses on Equality and Diversity in Practice and Challenging Unconscious Bias. In addition, members of the REF Advisory Group who perform an advisory role for the School's REF 2021 submission and the Senior Leadership Team who make decisions about the School's REF 2021 submission, including members of Appeals Panels will be provided with REF-specific equality and diversity training based on that provided by Advance HE in March 2019. The REF-specific training will be delivered to the Senior Leadership Team and REF Advisory Group by December 2019 and will cover an overview of the relevant legislation; the importance of equality in REF2021; unconscious and conscious bias as related to REF 2021; and how to embed equality and mitigate bias in determining research independence, selecting outputs, considering individual staff circumstances and selecting impact case studies for REF 2021. Training materials will be made available on the REF section of the intranet as a reference and to ensure that the process is transparent.

#### **Staff circumstances**

16. The School values the diversity of its staff and is committed to supporting and promoting equality and diversity in research careers. The School recognises that an individual's personal circumstances may affect their research productivity and impact the number of outputs available for submission to REF 2021.
17. The School's output selection process has been designed to take into account the circumstances of individual researchers and provide appropriate support to affected individuals, as required.

18. The School is committed to providing a confidential and supportive mechanism through which staff can voluntarily declare any relevant individual circumstances that have affected their ability to research productively throughout the REF period.
19. The individual circumstances that may have affected an individual's ability to research productively are outlined below:
- Qualifying as an early career researcher (on the basis set out in paragraphs 148 and 149 and Annex L, [REF 2021 Guidance on Submissions](#)).
  - Absence from work due to secondments or career breaks outside the Higher Education sector.
  - Qualifying periods of family-related leave.
  - Qualifying as a junior clinical researcher, defined as staff who have not gained a Certificate of Completion of Training by 31 July 2020 (paragraphs 162 to 163, [REF 2021 Guidance on Submissions](#)).
  - Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
    - i. Disability: this is defined in the [REF 2021 Guidance on Codes of Practice](#), Table 1 under 'Disability'.
    - ii. Ill health, injury, or mental health conditions.
    - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L, [REF 2021 Guidance on Submissions](#).
    - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
    - v. Gender reassignment.
    - vi. Other circumstances relating to the protected characteristics in the [REF 2021 Guidance on Codes of Practice](#), Table 1, or relating to activities protected by employment legislation.
20. All Category A submitted staff must be returned with a minimum of one output attributed to them in the submission, including staff with individual circumstances. However, where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period, so that the individual has not been able to produce an eligible output, a request may be made for the minimum of one requirement to be removed. Requests may be made for an individual researcher who has not been able to produce an eligible output where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:
- an overall period of 46 months or more absence from research during the assessment period, due to one of more of the circumstances set out in the [REF 2021 Guidance on Submissions](#) paragraphs 160 to 163 (such as an early career researcher who has only been employed as an eligible staff member for part of the assessment period)
  - circumstances equivalent to 46 months or more absence from research, where circumstances set out in paragraph 160 apply (such as mental health issues, caring responsibility, long-term health conditions) or

- two or more qualifying periods of family-related leave, as defined in Annex L, [REF 2021 Guidance on Submissions](#).

21. Given that LSHTM submits a large number of staff (over 50 FTE) to each of its two UoAs, it is not anticipated that the School will be in a position to request any reductions to the number of outputs required from the REF Equality and Diversity Advisory Panel. The exception to this will be any cases where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period, so that the individual has not been able to produce an eligible output (as outlined in paragraph 19 above).
22. Staff who wish to have the impact of their individual circumstances taken into account or who wish to request a reduction to zero as outlined in paragraph 19 above, will be invited to voluntarily complete the Individual Circumstances Disclosure Form (Appendix 4) included in appendix 4. All staff employed at Assistant Professor, Associate Professor and Professor level will be invited to do so via an email to their LSHTM email account in November 2019. This invitation will also be extended to any Research Assistants and Research Fellows who have successfully applied to be considered an independent researcher for the purposes of REF 2021. The completed forms should be submitted to the Equality, Diversity and Inclusion Manager via [ref\\_edi@lshtm.ac.uk](mailto:ref_edi@lshtm.ac.uk) by 14 February 2020. Staff will be reminded about this opportunity in January 2020.
23. Any submissions from staff with individual circumstances that have had an exceptional effect on their ability to work productively throughout the assessment period, so that the individual has not been able to produce an eligible output, will be considered by the Individual Circumstances Panel comprising the Deputy Director & Provost, Director of HR and Equality, Diversity and Inclusion Manager. The Panel will meet by the 28 February 2020. A decision will be made based on the information provided with reference to the [REF 2021 Guidance on Submissions](#) (paragraphs 151-201) and [REF 2021 Guidance on Codes of Practice](#) documents, on whether a request should be submitted to the REF Equality and Diversity Advisory Panel by the deadline of March 2020
24. All information submitted will be treated in strict confidence by the Deputy Director & Provost, Director of HR and Equality, Diversity and Inclusion Manager. Where individuals have selected the option on Individual Circumstances Disclosure Form requesting additional support, the Equality, Diversity and Inclusion Manager will contact the member of staff to discuss what support is required, what reasonable adjustments can be made and to ensure that the individual is aware of their legal rights.

#### **Equality Impact Assessment**

25. The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all submitted staff; this will be compared with the equality profile of all submitted staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission. 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. The Equality Impact Assessments will be undertaken by the Deputy Director & Provost, Head of Strategic Research and the Equality, Diversity and Inclusion Manager.

**Part 5: Appendices**

1. Senior Leadership Team Terms of Reference and Membership
2. REF Advisory Group Terms of Reference and Membership
3. People Committee Terms of Reference and Membership
4. Individual Circumstances Disclosure Form and Guidance
5. Independent Researcher Application Form and Guidance
6. LSHTM REF Timetable
7. Equality Impact Assessment of Code of Practice

## Appendix 1

### Senior Leadership Team Terms of Reference and Membership

#### PARENT BODY: Council

#### PURPOSE

The Senior Leadership Team takes a collective overview of and responsibility for School-wide issues; members take personal and collective responsibility for decisions and for making things happen.

#### COMPOSITION

- i. Director (Chair)
- ii. Deputy Director & Provost
- iii. Chief Operating Officer
- iv. Secretary and Registrar
- v. Dean, Faculty of Epidemiology & Population Health
- vi. Dean, Faculty of Infectious & Tropical Diseases
- vii. Dean, Faculty of Public Health & Policy
- viii. Director (MRC Unit The Gambia)
- ix. Director (MRC/UVRI Uganda Research Unit)
- x. Pro-Director (Learning, Teaching & Enhancement)

Members may be represented *in absentia* by named alternates, as approved by the Committee Chair.

#### QUORUM

It is an expectation that all members attend the Senior Leadership Team. The Director or Deputy Director must be present, along with representation from two Faculties. Where items relate to learning and teaching, the Pro-Director (Learning, Teaching and Enhancement) or Secretary and Registrar, must also be present.

#### MEMBERSHIP

Composition	Member
Chairman (Director and Professor of Global Health)	Professor Baron Peter Piot
Deputy Chair (Deputy Director and Provost)	Professor Dame Anne Mills
Chief Operating Officer	Dr Matt Lee
Secretary and Registrar	Jenny Jenkin
Dean, Faculty of Epidemiology & Population Health	Professor Liam Smeeth
Dean, Faculty of Infectious & Tropical Diseases	Professor Brendan Wren
Dean, Faculty of Public Health & Policy	Professor Kara Hanson
Director (MRC Unit The Gambia)	Professor Umberto D'Alessandro
Director (MRC/UVRI Uganda Research Unit)	Professor Pontiano Kaleebu
Pro-Director (Learning, Teaching, and Enhancement)	Professor Sasha Shepherd

**Frequency of meetings:** fortnightly, with termly away days

**TERMS OF REFERENCE**

- i. The Director has overall responsibility for the executive management of the School and is accountable to Council for this.
  
- ii. The Senior Leadership Team is advisory to the Director and:
  - a. sets the strategic direction of the School and monitors progress against the strategic objectives, along with Council, including
    - i. the prioritisation and oversight of external partnerships
    - ii. the prioritisation for large-scale, strategic investments
  
  - b. ensures that the School is compliant with its statutory obligations and is managing risks appropriately (e.g. financial, legal, health & safety etc)
  
  - c. having set budgets, it delegates operational matters to the Management Board and other relevant committees or managers as appropriate;
  
  - d. receives regular updates on operational matters from the Management Board as appropriate.

## Appendix 2

### REF Advisory Group Terms of Reference and Membership

#### TERMS OF REFERENCE

Responsibility for the School's final REF submissions rests with the Senior Leadership Team. The Senior Leadership Team will be responsible for the content and structure of the final REF submissions, including final decisions regarding the research outputs and impact case studies included in each submission.

The Senior Leadership Team will be advised in this role by an Advisory Group, chaired by the Deputy Director & Provost, with expertise in the areas covered by the two Units of Assessment (UOA) to which the School expects to submit work for assessment: UOA1 Clinical Medicine and UOA2 Public Health, Health Services and Primary Care.

The Group will:

- Receive and review reports from Faculties on staff publications and proposals for impact case studies
- Review data from mock REF exercise
- Advise the Senior Leadership Team on the current profile in each UOA
- Advise on the content of the School's submission to the relevant UOA, including:
  - The research outputs to be included in the submission
  - The selection and content of impact case studies
  - Research strengths to be highlighted in the environment section
  - Consider other evidence of impact and/or esteem to be included in the environment section
- Advise on the allocation of members of staff between UoAs
- Review draft impact case studies and the environment section
- Update the Senior Leadership Team on the work of the Group, as required

#### MEMBERSHIP

Composition	Member
Deputy Director & Provost & Professor of Health Economics and Policy	Professor Dame Anne Mills (Chair)
EPH Dean of Faculty & Professor of Clinical Epidemiology	Professor Liam Smeeth
EPH Associate Dean of Faculty & Professor of Epidemiology	Professor Helen Weiss
Professor of Mathematical Modelling, EPH	Professor John Edmunds
Professor of Epidemiology, EPH	Professor Dave Leon
ITD Dean of Faculty & Professor of Microbial Pathogenesis	Professor Brendan Wren
Head of the Department of Disease Control & Professor of Medical Entomology, ITD	Professor James Logan
Head of the Department of Clinical Research & Professor of Communicable Diseases, ITD	Professor David Mabey
PHP Dean of Faculty & Professor of Health System Economics	Professor Kara Hanson

Professor of Population Health, PHP	Professor Steve Cummins
Professor of Medical Sociology, PHP	Professor Carl May
Director of MRC Unit The Gambia at LSHTM & Professor of Epidemiology	Professor Umberto D'Alessandro
Scientific Director for Vaccinology research at MRC Unit The Gambia at LSHTM & Professor of Paediatric Infection & Immunity, ITD	Professor Beate Kampmann
Head of Social Aspects of Health Programme at MRC/UVRI & LSHTM Uganda Research Unit & Professor of Anthropology and Health, PHP	Professor Janet Seeley
Chief Operating Officer	Dr Matt Lee
Head of Strategic Research	Dr Hannah Whiteman
Strategic Research Coordinator (Secretariat)	Anna Kramer

## Appendix 3

### People Committee Terms of Reference and Membership

#### PARENT BODY: Council

#### PURPOSE

The People Committee has strategic oversight of, and reviews LSHTM's strategies, plans and objectives in relation to people-related matters including (but not limited to): staff morale and engagement, wellbeing, culture, equality, diversity and inclusion, staff appraisal and training and development.

#### COMPOSITION

- i. The Chair of the Committee shall be appointed by Council, from amongst the Council external members.
- ii. Chairman of Council
- iii. Deputy Chair of Council
- iv. Up to three other external members of Council
- v. One Staff Member of Council who will not attend discussions relating to individual members of staff
- vi. One Student Member of Council who will not attend discussions relating to individual members of staff
- vii. Up to three Co-opted members (if required)
- viii. In attendance:
  - a. Director of Human Resources

#### MEMBERSHIP

Composition	Member
Chairman	Ann Grant
Chairman of Council	Marjorie Scardino
Deputy Chair of Council	John O'Donnell
Up to three other independent members of Council	
One Co-opted member	Malcolm King
Staff member of Council	Professor Alison Grant
Director	Professor Baron Peter Piot
Student member of Council	Diksha Srivastava
Deputy Director and Provost)	Professor Dame Anne Mills
In attendance:	
Director of Human Resources	Kessar Kalim

#### MEETINGS

Meetings shall be held up to three times per academic year. Additional meetings of this Committee may be held on an exceptional basis by direction of the Chair.

#### DELEGATED DECISIONS

None

#### OTHER TERMS OF REFERENCE

- i. To monitor progress of People related aspects of the LSHTM Strategic plan, and provide advice and recommendations where necessary;
- ii. To review the People risks in the Strategic Risk Register;

- iii. To monitor institutional morale, employee engagement and culture, and provide advice and recommendations where necessary;
- iv. To monitor strategies and progress in respect of equality, diversity and inclusion for staff and students, and provide advice and recommendations where necessary
- v. To monitor the key employment issues (including Professorial banding arrangements and pension arrangements) and remuneration levels of agreed categories of staff. The Committee will determine the categories monitored;
- vi. To receive the assurance it deems necessary in respect of the appraisal process for all staff;
- vii. To monitor strategies and performance in respect of development & training for all staff, and provide advice and recommendations where necessary

## Appendix 4 Individual Circumstances Disclosure Form and Guidance

### Guidance

The School values the diversity of its staff and is committed to supporting and promoting equality and diversity in research careers. The School recognises that an individual's personal circumstances may affect their research productivity and impact the number of outputs available for submission to REF 2021. The School's output selection process for REF 2021 has been designed to take into account the circumstances of individual researchers and provide appropriate support to affected individuals, as required.

The School is committed to providing a confidential and supportive mechanism through which staff can voluntarily declare any relevant individual circumstances that have affected their ability to research productively throughout the REF period. The individual circumstances that may have affected an individual's ability to research productively are outlined below. This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see [REF 2021 Guidance on Submissions](#), paragraphs 117-122).

As part of the School's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to voluntarily declare information about any applicable circumstances (outlined below) that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be submitted to REF without the minimum requirement of one output where they have;
  - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

### Applicable circumstances

- Qualifying as an early career researcher (defined as starting their career as an independent researcher and appointed to their first Assistant Professor post or equivalent on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of Training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of these circumstances, you are requested to complete the attached form. Further information can be found in paragraph 160 of the [REF 2021 Guidance on Submissions](#). Completion and return of the form is **voluntary**, and individuals who choose not to return it will not be put under any pressure to declare information if they do not wish to do so. Please note that this form is the only means by which the School will gather this information for the purposes of REF 2021; it will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

### **Ensuring Confidentiality**

Any submissions from staff with individual circumstances that have had an exceptional effect on their ability to work productively throughout the assessment period, so that the individual has not been able to produce an eligible output, will be considered by the Individual Circumstances Panel comprising the Deputy Director & Provost, Director of HR and Equality, Diversity and Inclusion Manager. The Panel will meet by 28 February 2020. A decision will be made based on the information provided with reference to the [REF 2021 Guidance on Submissions](#) and [REF 2021 Guidance on Codes of Practice](#) documents, on whether a request should be submitted to the REF Equality and Diversity Advisory Panel by the deadline of March 2020.

All information submitted will be treated in strict confidence by the Deputy Director & Provost, Director of HR and Equality, Diversity and Inclusion Manager. Where individuals have selected the option on the application form requesting additional support, the Equality, Diversity and Inclusion Manager will contact the member of staff to discuss what support is required, what reasonable adjustments can be made and to ensure that the individual is aware of their legal rights (please see <https://www.lshstm.ac.uk/aboutus/organisation/governance/equality-diversity-inclusion> for further information).

### **Process**

Given that LSHTM submits a large number of staff (over 50 FTE) to each of its two UoAs, it is not anticipated that the School will be in a position to request any reductions to the number of outputs required from the REF Equality and Diversity Advisory Panel. The exception to this will be any cases where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period, so that the individual has not been able to produce an eligible output.

If the School decides to apply to the Research England for either type of reduction of outputs (removal of the minimum of one requirement or unit level circumstances), we will need to provide the UKRI REF Team with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the [REF 2021 Guidance on submissions](#) document (paragraphs 151-201) for more detail about reductions in outputs and what information the School will be required to submit. Submitted data will be kept confidential to the UKRI REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

### **Changes in circumstances**

The School recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact [ref\\_edi@lshstm.ac.uk](mailto:ref_edi@lshstm.ac.uk) to provide the updated information.

**London School of Hygiene & Tropical Medicine REF 2021 Individual Circumstances Disclosure Form**

The completed forms should be submitted to the Equality, Diversity and Inclusion Manager via [ref\\_edi@lshtm.ac.uk](mailto:ref_edi@lshtm.ac.uk) by **14 February 2020**.

**Name:**

**Faculty/Unit:**

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

- Yes   
No

Please complete this form if you have one or more applicable equality-related circumstance(s) (see attached guidance section for further information) that you are willing to declare.

<b>Circumstance</b>	<b>Time period affected</b>
<p><b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b> <i>To include: Date you became an early career researcher.</i></p>	
<p><b>Junior clinical academic who has not gained Certificate of Completion of Training by 31 July 2020.</b></p>	Tick here <input type="checkbox"/>
<p><b>Career break or secondment outside of the HE sector.</b> <i>To include: Dates and durations in months.</i></p>	
<p><b>Family-related leave;</b></p> <ul style="list-style-type: none"> <li>• statutory maternity leave</li> <li>• statutory adoption leave</li> <li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li> </ul> <p><i>To include: For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	
<p><b>Disability (including chronic conditions)</b> <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p><b>Mental health condition</b> <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p><b>Ill health or injury</b> <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	

<p><b>Constraints relating to family leave that fall outside of standard allowance</b>  <i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p><b>Caring responsibilities</b>  <i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p><b>Gender reassignment</b>  <i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p><b>Any other exceptional reasons e.g. bereavement.</b>  <i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	

Please confirm, by ticking the box below, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by LSHTM’s Deputy Director & Provost, Director of HR, and Equality, Diversity and Inclusion Manager
- I realise it may be necessary to share the information with the UKRI REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

**Signature:**

**Name:**

**Date:**

Staff who feel that they may benefit from support with their personal circumstances are encouraged to speak to their line manager to discuss their situation. In addition, the School’s Equality, Diversity and Inclusion Manager is able to provide advice and support to staff. Staff are welcome to contact the School’s Equality, Diversity and Inclusion Manager at any time via [ref\\_edi@lshtm.ac.uk](mailto:ref_edi@lshtm.ac.uk). If you would like to be contacted by the School’s Equality, Diversity and Inclusion Manager with relation to the circumstances disclosed in this form, please check the box below. The School’s Equality, Diversity and Inclusion Manager will keep this information confidential, and your circumstances will not be disclosed to or discussed with your line manager or other Faculty/Unit staff without your consent.

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

I would like to be contacted by (please provide contact details): Email   
 Phone

## Appendix 5 Independent Researcher Application Form and Guidance

### Guidance

For the REF 2021, the London School of Hygiene & Tropical Medicine plans to submit all staff employed as Assistant Professors, Associate Professors and Professors on teaching and research Higher Education Statistics Agency (HESA) codes for 0.2 FTE or greater.

Staff employed at Research Assistant and Research Fellow grades are on research only HESA codes and under the [REF 2021 Guidance on Submissions](#) are not automatically eligible for inclusion in the School's REF submission. These staff can apply for inclusion in the London School of Hygiene & Tropical Medicine's REF 2021 submission if they can provide evidence of research independence using the following indicators outlined in the [REF 2021 Guidance on Submissions](#):

- leading or acting as principal investigator or equivalent on an externally funded research project.
- holding an independently won, competitively awarded fellowship where research independence is a requirement.
- leading a research group or a substantial or specialised work package.

### Process

To be considered for inclusion in the REF 2021 submission, Research Assistants and Research Fellows should complete this form and submit it to [ref@lshtm.ac.uk](mailto:ref@lshtm.ac.uk) along with statements of support from the individual's line manager and Dean of Faculty/Unit Director. The statements of support should verify the evidence provided in the application form and provide an indication of the applicant's standing in the Faculty/ Unit compared to independent researchers in the area. Applications can be submitted at any point until the census date of 31 July 2020.

Applications will be reviewed by the REF Advisory Group, which meets every two months. The Group will consider the case made against the REF 2021 criteria for research independence. The decisions of the REF Advisory Group will be reported to the Senior Leadership Team for ratification.

All applicants will be provided with written feedback via email on the decision within two weeks of the Senior Leadership Team ratification meeting, this will be copied to their line manager. Staff will be able to appeal against the decision if they believe that the REF Advisory Group and the Senior Leadership Team failed to give full consideration to the application. Staff will be informed of the appeals process in their written feedback.

**London School of Hygiene & Tropical Medicine REF 2021 Independent Researcher Application Form**

Completed forms should be submitted to [ref@lshtm.ac.uk](mailto:ref@lshtm.ac.uk) by 31 July 2020.

**Name:**

**Faculty/Unit:**

**Line Manager:**

Please provide evidence for research independence using the following indicators. Each statement should be a maximum of 250 words and all evidence must be factual and verifiable, including grant reference numbers where appropriate. Please refer to paragraphs 128 to 134 of the [REF 2021 Guidance on Submissions](#) for further information.

Indicator	Evidence
Leading or acting as principal investigator or equivalent on an externally funded research project	
Holding an independently won, competitively awarded fellowship where research independence is a requirement (please refer to the Research England List of Independent Fellowships ( <a href="https://www.ref.ac.uk/media/1030/c-users-daislha-desktop-list-of-research-fellowships-updated-22032019.pdf">https://www.ref.ac.uk/media/1030/c-users-daislha-desktop-list-of-research-fellowships-updated-22032019.pdf</a> ))	
Leading a research group or a substantial or specialised work package.	
Other (please complete this box if you would like additional evidence to be considered)	

Statement of support from line manager (maximum 250 words).

Statement of support from Dean of Faculty/Unit Director (maximum 250 words)

## Appendix 6 London School of Hygiene & Tropical Medicine REF Timetable

DATE	ACTIVITY	REF SECTION
30 August 18	First meeting of REF Advisory Group	General
20 September 18	REF briefing meeting during LSHTM week	General
15 October 18	Deadline for response to consultation on draft guidance on submissions, panel criteria and working methods, and codes of practice	General
31 October 18	Meeting of REF Advisory Group	General
October – November 18	Roll out of the Current Research Information System, Symplectic Elements, to departments	General
October – December 18	Mock REF exercise of outputs (dependent on successful roll out of Symplectic Elements)	REF2 outputs
15 January 19	Meeting of REF Advisory Group	General
January 19	Publication of Research England final guidance on submissions and panel criteria	General
12 February 19	Meeting of REF Advisory Group	General
February 19	Initial review of outcome of mock REF exercise by the REF Advisory Group	REF2 outputs
12 March 19	Meeting of REF Advisory Group	General
March 19	Longlist of impact case studies agreed	REF3 impact
April – May 19	Preparation of initial drafts of impact case studies	REF3 impact
March – May 19	Development of Code of Practice for the identification of staff and selection of outputs for submission to Research England in June 19	General
April 19	Completion of wave 2 of mock REF	REF2 outputs
May 19	Review of outcome of mock REF exercise by Senior Leadership Team	REF2 outputs
14 May 19	Meeting of REF Advisory Group	General
14 May 19	Review of outcome of mock REF exercise by the REF Advisory Group	REF2 outputs
14 May 19	Review of initial drafts of impact case studies	REF3 impact
May 19	Review of Code of Practice by the REF Advisory Group, Senior Leadership Team, Chair of People Committee, members of academic staff and Trade Union representatives	General
May 19	Finalise Code of Practice	General
7 June 19	Submit of Code of Practice for the identification of staff and selection of outputs to Research England	General
3 July 19	Meeting of REF Advisory Group (proposed discussion on process for preparing the environment template)	REF5 environment
3 July 19	Review draft impact case studies by the REF Advisory Group and Senior Leadership Team	REF3 impact
August 19	Review requirements for environment template (Institutional and UoA), draft outline and identify those who need to contribute	REF5 environment
June – December 19	Further development of impact case studies and collation of evidence	REF3 impact
3 September 19	Meeting of REF Advisory Group (proposed discussion on the outline environment template and proposed contributors)	REF5 environment

9 September 19	REF briefing meeting during LSHTM week	General
September 19	Allocation of staff to UOAs	General
September – October 19	Request staff to identify any new papers to be included in the REF	REF2 outputs
September – October 19	Review of HESA return to ensure that all overseas staff are returned, early career researchers are flagged and staff are allocated to the correct category (teaching/research/teaching & research/other)	REF1 staff
12 November 19	Meeting of REF Advisory Group	General
September 19 – November 20	Review of new papers for inclusion in the REF submission; this will take place monthly by members of the REF Advisory Group	REF2 outputs
October 19 - June 20	Editing and finalising environment template	REF5 environment
November – December 19	Following approval of Code of Practice by Research England, initial selection of outputs	REF2 outputs
November – December 19	Delivery of REF 2021 specific equality, diversity and inclusion training for members of the REF Advisory Group and Senior Leadership Team	General
November 19	Following approval of Code of Practice by Research England, call for submission of individual staff circumstances – all Category A eligible staff to be invited to voluntarily complete a form declaring special circumstances during the REF period	REF1 staff & REF6 staff circumstances
December 19 - July 20	Following approval of Code of Practice by Research England, call for applications for independent researcher status in December 19 with reminders sent in March and June 20	REF1 staff
December 19 - November 20	Finalise outputs for submission	REF2 outputs
December 19 - June 20	Editing and finalising of impact case studies	REF3 impact
January - June 20	Collation of data on research degree students and research income	REF4
January 20	Send a reminder to staff about the deadline for submission of individual staff circumstances forms	REF1 staff
14 February 20	Deadline for staff circumstances declarations	REF1 staff
28 February 2020	Review of staff circumstances applications by Individual Circumstances Panel	REF1 staff
March 2020	Deadline for submission of requests for reduction in outputs to Research England	REF1 staff & REF2 outputs
31 July 20	Final deadline for submission of Independent Researcher Application Forms	REF1 staff
31 July 20	Census date	General
September – October 20	Review of HESA return to ensure that all overseas staff are returned, early career researchers are flagged and staff are allocated to the correct category (teaching/research/teaching & research/other)	REF1 staff & REF6 staff circumstances
27 November 20	Submission to Research England	General

## Appendix 7 Equality Impact Assessment of Code of Practice

Name of policy/practice being impact assessed:

REF 2021 Code of Practice

What evidence was used?

REF 2021 guidance documents ([Guidance on Submissions](#), Panel Criteria and Working Method, and [Guidance on Codes of Practice](#)); Advance HE Equality, Diversity, Inclusion and the Research Excellence Framework 2021: A workshop for practitioners March 2019; and Human Resources data collated for HESA returns.

Who was involved and consulted and how?

The draft Code of Practice was shared with the following groups and individuals for review and feedback: REF Advisory Committee, Senior Leadership Team, Chair of the People Committee, staff Trade Union representatives, Human Resources Team, and all academic staff.

The action that will be taken as a result of the impact assessment:

The Code of Practice has been published on the intranet and all academic staff have been contacted to inform them of the existence and purpose of the document. The final approved Code of Practice along with this Equality Impact Assessment will be published on the intranet. The final Code of Practice will also be published on the School's external website. The Code will be made available in accessible formats upon request and staff who are on long term leave (of over 4 weeks) will receive a copy of the final Code of Practice via post to their home address. A briefing event has been arranged for 9 September 2019 to update staff on the REF 2021 and discuss the processes outlined in the Code of Practice.

The School will monitor the profile of staff on research only HESA codes that have applied to be considered as independent researchers, this will be compared with the equality profile of all staff at those grades. The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.

Equality Impact Assessments will be undertaken on the outcome of the mock REF exercise and in advance of preparation for the final REF submissions.

Question	Yes/No/NA	Comments
Have you identified the aim, objective or purpose of the policy/practice?	Yes	The Code of Practice sets out the governance arrangements, procedures and timetable that will be followed by the School for preparing its submission to REF 2021. The Code includes how the School will determine who is an independent researcher and the selection of outputs in its REF submissions, including approaches to supporting staff whose circumstances may have affected their ability to work productively throughout the REF assessment period.

Have you identified how relevant is the policy/practice in relation to equality?	Yes	The Code has been developed to ensure that the School adopts a fair and transparent process for determining who is an independent researcher and the selection of outputs for its REF submission. It also outlines the approaches that will be used to support staff with individual circumstances. This code will ensure that the process for preparing the School's REF 2021 submission is transparent and undertaken in such a way as to promote equality, avoid discrimination and comply with all relevant legislation. The Code of Practice has 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 fulfils all of its responsibilities under the Equality Act 2010 and relevant employment law.
Is the policy/practice uniformly applied throughout the School?	Yes	The policy will be uniformly applied to all academic staff.
Have you identified the main internal stakeholders?	Yes	Academic staff, REF Advisory Group, Senior Leadership Team, People Committee, and Trade Unions.
Have you identified the main external stakeholders?	Yes	Research England, UKRI REF Team, REF Equality and Diversity Advisory Panel, REF Main Panels and UoA sub-Panels
Have you collected the data you need for the assessment?	N/A	
Have you identified gaps in data that would have been useful?	N/A	
Have you identified how you are going to collect this data in the future?	N/A	
Does the policy/practice have or potentially have a significant impact on disabled people?	Potentially	All staff will be invited to voluntarily declare any individual circumstances that may have affected their ability to work productively throughout the REF assessment period. The School's Equality, Diversity and Inclusion Manager will be available to provide confidential advice and support to all staff. The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their

		protected characteristics are underrepresented in the final submission.
Does the policy/practice have or potentially have a significant impact on gender?	Potentially	All staff will be invited to voluntarily declare any individual circumstances that may have affected their ability to work productively throughout the REF assessment period. The School's Equality, Diversity and Inclusion Manager will be available to provide confidential advice and support to all staff. The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.
Does the policy/practice have or potentially have a significant impact on part - time staff or students?	Potentially	All staff will be invited to voluntarily declare any individual circumstances that may have affected their ability to work productively throughout the REF assessment period. The School's Equality, Diversity and Inclusion Manager will be available to provide confidential advice and support to all staff. The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.
Does the policy/practice have or potentially have a significant impact on racial groups/ethnicity?	No	The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.
Does the policy/practice have or potentially have a significant impact in relation to age?	Potentially	All staff will be invited to voluntarily declare any individual circumstances that may have affected their ability to work productively throughout the REF assessment period. The School's Equality, Diversity and Inclusion Manager will be

		<p>available to provide confidential advice and support to all staff.</p> <p>There is a potential impact on early career researchers. Those staff who are on research only HESA codes will have the opportunity to apply to be considered for inclusion in the REF is they can provide evidence of meeting the REF 2021 definition of an independent researcher. A formal application process has been developed and an appeals process established to manage any appeals to the decisions made by the REF Advisory Group and Senior Leadership Team.</p> <p>The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.</p>
Does the policy/practice have or potentially have a significant impact in relation to gender reassignment?	Potentially	<p>All staff will be invited to voluntarily declare any individual circumstances that may have affected their ability to work productively throughout the REF assessment period. The School's Equality, Diversity and Inclusion Manager will be available to provide confidential advice and support to all staff.</p> <p>The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.</p>
Does the policy/practice have or potentially have a significant impact in relation to sexual orientation?	No	<p>The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.</p>
Does the policy/practice have or potentially have a significant impact in relation to religion or belief?	No	<p>The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category</p>

		A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.
Does the policy/practice have or potentially have a significant impact in relation to pregnancy or maternity?	Potentially	All staff will be invited to voluntarily declare any individual circumstances that may have affected their ability to work productively throughout the REF assessment period. The School's Equality, Diversity and Inclusion Manager will be available to provide confidential advice and support to all staff. The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.
Does the policy/practice have or potentially have a significant impact in relation to marriage or civil partnership?	No	The School will monitor the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff; this will be compared with the equality profile of all staff at those grades to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.
Does the policy/practice contribute to promoting the School's equality commitments?	Yes	The Code of Practice has 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 fulfils all of its responsibilities under the Equality Act 2010 and relevant employment law.
Does the policy/practice eliminate or minimise discrimination?	Yes	The Code of Practice has been developed to ensure that decision-making processes with regard to the REF minimises discrimination. It has been written to align with the School's strategy and Equality and Diversity Action Plan
Does the policy/practice eliminate or minimise harassment?	N/A	
Does the policy/practice foster good relations between people from different groups?	N/A	

Does the policy/practice encourage people with protected characteristics to participate in public life or in other activities where their participation is low?	N/A	
Have you identified information that will need to be collected to ensure effective monitoring?	Yes	Data on the number of staff voluntarily declaring individual circumstances for consideration. The number of staff contacting the Equality, Diversity and inclusion Manager for advice on REF 2021 related issues. The number of staff on research only HESA codes applying for inclusion in the REF 2021, the success rates for these applications, the number of appeals and the outcomes of the appeals process. The profile of staff on research only HESA codes that have applied to be considered as independent will be compared with the equality profile of all staff at those grades. Data on the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff in the final submission will be collated and compared with the equality profile of all Category A submitted staff to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.

#### **ACTION PLAN**

<b>Action</b>	<b>Completion date</b>	<b>Person responsible</b>
Review policy or practice	Ongoing and 27 November 2020	Head of Strategic Research, and Equality, Diversity and Inclusion Manager
Upload the final approved Code of Practice to the REF section of the intranet and internet to ensure that all staff are informed on the procedure for REF 2021. Send a copy of the final approved Code of Practice to all academic staff and post copies to staff absent of work. Make the Code of Practice available in accessible formats if requested.	November 2020 and ongoing	Head of Strategic Research
Invite all staff to voluntarily declare any individual circumstances	Invitation sent November	Deputy Director & Provost, Head of Strategic Research, and Equality, Diversity and Inclusion Manager

	2019 with a deadline of 14 February 2020	
Call for applications to be considered an independent researcher for REF 2021.	Call for application issued December 2019 with a deadline of 31 July 2020	Deputy Director & Provost, Head of Strategic Research, and Equality, Diversity and Inclusion Manager
Conduct an Equality Impact Assessment for the mock REF exercise	January 2020	Deputy Director & Provost, Head of Strategic Research, and Equality, Diversity and Inclusion Manager
Conduct an Equality Impact Assessment for of the School's REF 2021 procedures in advance of preparation for the final REF submission	March 2020	Deputy Director & Provost, Head of Strategic Research, and Equality, Diversity and Inclusion Manager
Collation of monitoring data for staff on research only HESA codes who have applied to be considered as independent. Collation of data on the mock REF exercise scoring profile of outputs and number of outputs allocated to all Category A submitted staff for comparison with the equality profile of all Category A submitted staff to determine whether the outputs from any groups in relation to their protected characteristics are underrepresented in the final submission.	August 2020	Deputy Director & Provost, Head of Strategic Research, and Equality, Diversity and Inclusion Manager

**Name of person completing checklist and action plan:**

Dr Hannah Whiteman, Head of Strategic Research

**Date:** 4 June 2019

**Signed off by:**

Professor Dame Anne Mills, Deputy Director & Provost