St George's, University of London

DRAFT Code of Practice REF 2021

# Contents

## Part 1: Introduction

### How the code relates to Equality and Diversity

1. The Code of Practice applies to all those involved in the preparation and submission of St George's REF 2021 return. It provides a framework within which recommendations and decisions of identifying staff with significant responsibilities for research, determining research independence and selection of outputs, are conducted in a fair and transparent way with the aim of promoting equality and diversity, complying with legislation and avoiding discrimination. St George's will adhere to the four main principles of REF 2021 to guide the Code of Practice: transparency, consistency, accountability and inclusivity.

2. As an inclusive employer, St George's seeks to create an environment in which staff are treated solely on the basis of their merits, abilities and potential, regardless of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation (the protected characteristics of the Equality Act 2010 (see Appendix 1: Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017)), socio-economic background, trade union membership or any other attribute not relevant to good employment practice. This strategic aim is underpinned by Institutional policies, good practice guides and training programmes which are available to all members of staff.

3. One of the core values at St George's is respect, as set out in St George's Strategic Plan, 2017-22, constantly working towards shaping an inclusive environment in which diversity is valued. We have a responsibility to make sure our policies, practices, procedures and other functions are not discriminatory and have established equality objectives and a Single Equality Scheme, designed to help us achieve this.[1]

### Equality impact assessment

4. St George's will undertake equality impact assessments on the policies and processes in the Code of Practice to be used during the submission preparations for REF 2021. The assessment will determine whether the Institution's selection policy for REF may have a differential impact on protected groups.

5. St George's Diversity and Inclusion Steering Group will lead on the equality impact assessments (see Appendix 2: Diversity and Inclusion Membership and Terms of Reference). The assessment will highlight any areas of imbalance to be identified and addressed at significant points in the preparation of the REF submission.

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[1] https://www.sgul.ac.uk/about-us/governance/equality-and-diversity

6. The Equality Impact Assessment will be conducted by the Associate Dean for Equality, Diversity and Inclusion, the Diversity and Inclusion Adviser, the HR Systems and Information Officer, HR and members of the Equality and Inclusion Steering Group. It will be reported to the REF Steering Executive and Research Committee. (See Appendix 3: St George's Equality Analysis Guidance and Form).

7. St George's equality analysis will look at the following data sets, where numbers are statistically sufficient:

   i. Diversity data for staff with significant research responsibility based on criteria in this document versus those without (and versus the overall academic and the research staff population).

   ii. Data split by job role (Lecturers, Senior Lecturers, Readers, and Professors, Teaching Fellows, Research Assistants, Research Fellows, and independent researchers as defined by REF).

   iii. Diversity data for staff split by HESA function (Research, Research and Teaching, and Teaching).

   iv. Diversity data for staff with Joint Membership between Institutes.

   v. Analysis of selection of outputs, impact case studies and data for environment statement.

8. Analysis will focus on gender, ethnicity, disability, age, maternity leave and other leave (other characteristics may not be suitable because of lower disclosure rates).

9. St George's equality analysis will be conducted for the mock REF in late 2018 to early 2019, for the external mock REF in late 2019, and again when preparing the final submission from August to November 2020 before the final REF submission on 27th November 2020.

## Formation of the Code of Practice at St George's

10. *The REF Steering Executive was formed in January 2018 to guide the process for SGUL's submission for REF 2021. The REF Steering Executive, which is a subset of the Research Committee, is chaired by the Academic Lead for REF. The REF Steering Executive delivers the Code of Practice and provides leadership to enable a successful REF 2021 submission (see Appendix 4: REF Steering Executive Membership and Terms of Reference).*

11. *The Institution has taken steps to ensure that the Code of Practice has been widely considered and disseminated. It has been developed in accordance with the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 and relevant employment legislation as advised by the Director, Human Resources and Organisational Development, who is a member of the REF Steering Executive. The Code of Practice has been considered by*

*the REF Steering Executive, Research Committee and Diversity and Inclusion Committee, with final consideration and approval by the Senate (at the meeting on [DATE] 2019). A consultation process involving all staff and the trade unions took place in January 2019 and February 2019 (see Part 1: How the code is being developed and communicated to staff).*

## St George's broader institutional policies and strategies

12. Staff contribute to the excellence of the University by:

    i. Pursuing both fundamental and translational health sciences research of the highest quality;

    ii. Investing in our existing and emerging areas of research strength and rapidly adapting our research to new needs of society;

    iii. Extending strategic collaboration with St George's University Hospitals NHS Foundation Trust and other local healthcare providers and with research institutions nationally and internationally;

    iv. Providing a research environment that inspires innovation and enables people at all stages of their careers to reach their full potential;

    v. Recognising, inspiring and retaining early career researchers to nurture scientific leaders of the future;

    vi. Maximising the impact of our research and its contribution to scientific knowledge and clinical practice;

    vii. Engaging the public in our science and communicating widely the significance of our research;

    viii. Providing expert opinion at local, national and international levels to inform policy relevant to our vision and mission.[2]

13. Academic staff at SGUL are members of one or more of four Institutes dependent on their workload distribution and expectations regarding research and teaching, and the subject of their research. Three of these Institutes are focused on Research, and they are Infection & Immunity (I&I), Molecular and Clinical Sciences (MCS) and Population Health (PHRI). The fourth is the Institute for Medical and Biomedical Education (IMBE). There is a procedure allowing staff to apply for joint membership of more than one Institute (see Part 2: [DRAFT] Joint Membership between Institutes).

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[2] https://sgul.ac.uk/about-us/strategy-2017-2022/research

14. St George's Council approved St George's Strategy, 2017-2022 (see Appendix 12: Strategic Plan, 2017 – 2022). Its mission is to pursue excellence in academic medicine, healthcare and science, informed by a global outlook; create and share knowledge; and inspire and develop people who contribute to and improve society.

15. The Operational Plan, 2017-2022, (see Appendix 13: Operational Plan, 2017 – 2022) identifies activities that the university will undertake to realise ambitions set out in the Strategic Plan, which is delivered by the Senior Management Team.

16. In the area of research – excellence and impact, St George's will make progress towards its research Key Performance Indicators (agreed by Council and reviewed bi-annually) in measures aimed at academics at all levels, Research Institutes, Joint Research and Enterprise Services (JRES), and the university. The KPIs for research are overseen by the Deputy Principal (Research & Enterprise) and shared with the Principal, Director of JRES and HR Director. The Key Performance Indicator (KPI6): Research Excellence Framework [summary text will be included when KPI agreed, March 2019] (See Appendix 21: Key Performance Indicators – research). The local KPIs are reviewed bi-annually by the Research Committee led by the Director of Planning.

17. St George's Information Strategy, 2017-2022, is in alignment with the Strategic and Operational Plans, by supporting Open Access systems (Symplectic's CRIS system), research data management systems (Jisc), investing in services and platforms, increasing capacity to match growth in research, and ensuring St George's complies with legal and ethical requirements (Information Governance toolkit,[3] GDPR). (See Appendix 14: Information Strategy, 2107 – 2022).

18. St George's holds Athena SWAN silver award, awarded in May 2018 and this status will be reviewed in 2021.[4] The Athena SWAN Charter recognises and celebrates good employment practice for women working in science, technology, engineering, maths and medicine (STEMM) in higher education and research. St George's is committed to the advancement of the careers of women in STEMM in higher education and has adopted the principles of the Equality Challenge Unit's Athena SWAN Charter.[5] One of the four main priorities of work to embed Athena SWAN principles is on the theme of the career life cycle and development, and the other three are education and students; engagement and communication; and leadership, culture and values. In September 2017, St George's launched 'Thrive', a campaign that highlights some of the stories of St George's staff. The 'Thrive' podcast series features interviews led by the Deputy Principal (Institutional Affairs)

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[3] http://www.ig.sgul.ac.uk/ accessed 08/11/18

[4] https://www.sgul.ac.uk/about-us/join-us/athena-swan accessed 08/11/18

[5] https://www.ecu.ac.uk/equality-charters/athena-swan/about-athena-swan/ accessed 08/11/18

with staff and students about work/life balance, career progression and overcoming mistakes, and the importance of being respected and valued for who you are at work.[6]

19. St George's submitted its application for the Human Resources Excellence in Research Award (HERA) in 2018.[7] This award signals to researchers that St George's is committed to supporting their careers and can give them confidence about moving to St George's. A main driver for the initiative is to ensure that Europe is an attractive place for researchers from all over the globe.

20. The St George's Academic Training (GAT) team in partnership with Health Education England, National Institute for Health Research, and St George's University Hospitals NHS Foundation Trust, combine to develop pathways for clinicians interested in pursuing an academic career.[8]

21. Data protection is overseen at the highest level. The Chief Operating Officer at St George's is the Senior Information Risk Owner. The COO informed all staff in October 2017 about St George's preparations for the General Data Protection Regulation (see Appendix 19: Preparing for the General Data Protection Regulation – email).

## St George's policies and strategies

## Update on relevant actions taken since REF 2014

22. The Principal has overall responsibility for the REF process. This responsibility is delivered through the Academic Lead for REF who is the academic driver for the REF 2021 submission, with the main administrative support from Research Strategy and Development Manager and colleagues in the Joint Research and Enterprise Services.

23. St George's appointed an internal Academic Lead for REF, Professor Jodi Lindsay, who is responsible for coordinating St George's preparations for the REF 2021 submission. This appointment was made through an internal recruitment and selection process. The appointment was selected by the Principal and the Director of the Joint Research and Enterprise Services, and announced to all staff in the George's Weekly e-newsletter on 29th March 2018. On 16th May 2018, Professor Lindsay started the first of a series of roadshows for all staff (academic and administrative) to set out St George's preparations for REF. Information was also published on SGUL's Portal (intranet) site and signposted by articles in George's Weekly newsletter.

24. The Academic Lead for REF chairs the REF Steering Executive. Members of the REF Steering Executive were appointed based on job role and additional members were invited to join to

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[6] https://www.sgul.ac.uk/thrive accessed 08/11/18

[7] https://www.vitae.ac.uk/policy/hr-excellence-in-research accessed 08/11/18 At the time of writing, outcome unknown.

[8] https://www.sgul.ac.uk/research/academic-training

represent clinical academics, researchers, and equality, diversity and inclusion at St George's (see Appendix 15: REF Steering Executive Membership and Terms of Reference, January 2018). The group meets every two months. The REF Steering Executive was formed to plan and develop the Institution's REF 2014 submission and to guide the process; it disbanded following the REF 2014 submission and was reformed in January 2018. The REF Steering Executive is responsible for all decisions made regarding selection and submission to REF (see Appendix 4: REF Steering Executive Membership and Terms of Reference). Reports, recommendations, policies and procedures developed by the REF Steering Executive will be referred to the decision-making bodies for approval: Research Committee, Senate and/or Executive Board; the Principal is a member of these committees.

25. The Research Committee is chaired by Professor Jon Friedland, Deputy Principal (Research & Enterprise), who is also a decision-making member of the REF Steering Executive (see Appendix 5: Research Committee Membership and Terms of Reference). The committee meets on a monthly basis (since January 2019).[9] The Academic Lead for REF is a member of Research Committee and has been a member of Senate since autumn 2018.

26. Senate and Executive Board both report to Council. The Research Committee reports into Executive Board (see Appendix 6: St George's Senior Committee Structure).

## How the code is being developed and communicated to staff

27. *The main channels of communication are:*

- *E-newsletter: George's Weekly e-newsletter is circulated to all staff by email and available online. The Academic Lead for REF provides the main content on the topic of the REF for the newsletter. The Internal Communications team provides additional support to ensure that the messaging is clear, considerate of the intended audience, and is written to address the audience directly and in meaningful ways. Each e-newsletter is circulated by Internal Communications to all staff by email, including staff who are absent from work (e.g. staff on maternity leave, long-term sick leave, or sabbatical).The Code of Practice was announced to all staff with details of where to find the Code of Practice, details of a staff event to discuss it, and how to feedback on the draft version of the Code (see Appendix 7: George's Weekly e-newsletter – REF Update 1).*

- *Website: The SGUL website has a sub-section dedicated to the REF located under the JRES section of the website. It provides an overview of the REF submission process, how this applies to SGUL, who is involved in the decision-making process and in the*

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[9] The position of Deputy Principal (Research & Enterprise) replaced the position of Dean of Research & Enterprise from September 2018, during which time the Research Steering Executive met every six weeks.

*submission, the Code of Practice, and a Frequently Asked Questions section that is developed as a live resource in response to staff queries on the topic. During the consultation on the Code of Practice, it also linked to the electronic feedback system.*

- *Staff emails: The staff email distribution list was produced from records held on the HR system with verification by the Institute Directors. All academic staff and post-docs and fellows are included. Staff emails are sent from the Academic Lead for REF with guidance from Internal Communications. Content is driven by internal and external preparations for the REF submission, staff concerns, and updates on policy and procedures from REF 2021. (See Appendix 8: REF Update 1 – staff email from REF Academic Lead).*

- *Staff consultation: An internal staff consultation exercise took place from January 2019 to February 2019. Staff were invited to respond to the draft Code of Practice by:*

  - *Completing an online survey (see Appendix 9: Code of Practice Staff Consultation Survey). Each section asked respondents to rank the clarity of the section and rate their agreement with the policy and process with space for comments.*

  - *There was a staff event held on 14th February that all staff were invited to.  At the event, several senior staff involved in developing the Code were present, to explain the content of the Code, and to promote feedback and discussion.*

- *Trade unions: The trade unions at SGUL (UCU, Unite and BMA) were involved in the staff consultation from December 2018. Trade union representatives are members of the Joint Negotiating and Consultative Committee at SGUL. The draft Code of Practice was presented to the JNCC. The trade union representatives took the Code of Practice to its members for comment. Comments were received by the Academic Lead for REF and the Research Strategy and Development Manager from the trade union representatives and individually.*

28. *Following the staff consultation, responses to the draft Code of Practice were analysed and summarised by the Academic Lead for REF with support from members of the REF Steering Executive. A summary of responses including how concerns and feedback are addressed in the final Code of Practice was presented by the REF Academic Lead to the REF Steering Executive and communicated to all staff on the REF website.*

## Communications plan for the Code of Practice

| Activity | Dates of activity | Led by | Additional support | Target audience and stakeholders |
|---|---|---|---|---|
| *Context of Code of Practice introduced to Diversity and Inclusion Steering Group* | *03/12/2018* | *Associate Dean, Equality, Diversity and Inclusion* | *JRES* | *Diversity and Inclusion Steering Group members* |

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|---|---|---|---|---|
| *Context of Code of Practice introduced at Joint Negotiating and Consultative Committee with trade unions representatives present* | *12/12/2018* | *HR* | *Academic Lead for REF JRES* | *Trade unions: UCU, Unite, BMA \** |
| *Draft Code of Practice presented to REF Steering Executive* | *17/01/2019* | *Academic Lead for REF* | *JRES* | *REF Steering Executive members* |
| *Draft Code of Practice circulated to Trade Union representatives to take to its members* | *21/01/2019* | *HR* | *Academic Lead for REF JRES* | *Trade unions: UCU, Unite, BMA \** |
| *Draft Code of Practice published on SGUL portal* | *29/01/2019 – 28/02/2019* | *JRES* | *Internal Communications* | *All Staff \*\** |
| *Staff consultation survey live on SGUL portal using Lime Survey* | *29/01/2019 – 28/02/2019* | *Academic Lead for REF JRES* | *REF Steering Executive Internal Communications* | *All Staff \*\** |
| *Staff consultation live –circulated to all staff in George's Weekly e-newsletter* | *29/01/2019* | *Internal communications* | *Academic Lead for REF JRES* | *All Staff \*\** |
| *Staff consultation live – email sent to staff in targeted email* | *29/01/2019 – 28/02/2019* | *Academic Lead for REF* | *JRES* | *Staff (all academics in all Institutes and post-docs/fellows)* |
| *Draft Code of Practice presented to Research Committee* | *11/02/2019* | *Academic Lead for REF* | *JRES* | *Research Committee members* |
| *Staff consultation event to introduce and discuss draft Code of Practice* | *14/02/2019* | *Academic Lead for REF* | *Principal (TBC), Deputy Principal (Research & Enterprise), Research Institute Directors* | *All Staff \*\** |
| *Staff consultation period ending reminder email in George's Weekly* | *26/02/2019* | *Internal communications* | *Academic Lead for REF JRES* | *All Staff \*\** |
| *Draft Code of Practice presented to Senate* | *26/02/2019* | *Academic Lead for REF* | *JRES* | *Senate members* |
| *Staff consultation responses collated and analysed* | *01/03/2019 – 13/03/2019* | *Academic Lead for REF JRES* | *REF Steering Executive* | |
| *Data analysis of staff consultation responses presented* | *14/03/2019* | *Academic Lead for REF* | *JRES, Equality and Diversity Working Group* | *REF Steering Executive* |
| *Final Code of Practice agreed at REF Steering Executive* | *14/03/2019* | *Academic Lead for REF* | *JRES* | *REF Steering Executive members* |

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|---|---|---|---|---|
| *Final Code of Practice presented at Research Committee* | *08/04/2019* | *Academic Lead for REF* | *JRES* | *Research Committee members* |
| *Final Code of Practice presented at Executive Board* | *01/05/2019* | *Academic Lead for REF* | *JRES* | *Executive Board members* |
| *Final Code of Practice presented at Senate* | *04/06/2019* | *Academic Lead for REF* | *JRES* | *Senate members* |
| *Code of Practice submitted to REF* | *07/06/2019* | *Academic Lead for REF* | *JRES* | *REF 2021* |
| *Final Code of Practice presented to staff including analysis of responses to staff consultation on the website* | *June/July 2019 (date TBC)* | *Academic Lead for REF* | *JRES* | *All Staff \*\** |
| *Code of Practice published by REF* | *December 2019* | *REF* | | *SGUL* |

\* The three recognised trade unions at SGUL are UCU, Unite, BMA
\*\* Staff – all academic staff, including staff on extended leave, receive the e-newsletter, and have access to the SGUL website and portal during absences from SGUL. Where staff are unable to attend live events (e.g. roadshows and presentations), the presentation slides will be published on SGUL's web portal for staff to access.

## Collection of personal data by St George's

29. Members of staff will be advised of the way in which data relating to them as individuals will be processed as a formal statement in a Privacy Notice. (See Appendix 17: Privacy Notice).[10]

30. St George's Data Protection Policy is authored by Information Services. (Appendix 16: SOP Data Protection). St George's needs to keep certain personal data, for example about its staff and students, to fulfil its purpose and to meet its legal obligations to funding bodies and government. To comply with the law, information must be collected and used fairly, stored safely and not disclosed to any other person unlawfully. To do this, St George's must comply with the Principles which are set out in UK Data Protection Legislation.

31. The Principles of keeping personal data shall:

- be processed lawfully, fairly and in a transparent manner

- be collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes

- be adequate, relevant and limited to what is necessary in relation to the purposes

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[10] A Privacy Notice is a formal statement that provides the individual whose data is to be processed with the following information: the identity of the data controller, the purpose(s) for which the data may be processed and any other information necessary to ensure the processing can be considered 'fair' under the Data Protection Act.

- be accurate and, where necessary, kept up to date

- be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes

- be processed in a manner that ensures appropriate protection against unauthorised or unlawful processing, accidental loss, destruction or damage.

32. Data requested, processed, collected for the REF submission will adhere to the principles, policy and procedure of St George's Data Protection Policy in all cases.

## Collection of personal data by REF

33. All personal data submitted by SGUL to REF will be collected, stored and processed by REF in accordance with current data protection legislation – the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. Data will be shared via a secure system with panel chairs, members, assessors, secretaries and observers, who are all bound by confidentiality arrangements. Research England will use data to inform the selective distribution of public funds for research and use personal data to analyse and monitor REF 2021.[11]

34. REF will publish a Privacy Notice in late 2018 that will provide further information on the collection, processing and retention of personal data submitted to REF.

35. REF will publish submissions on the internet in spring 2022. Outputs will not be listed by author name. Any personal data contained in the outputs, impact case studies and environment statements will not be removed before publication, unless an impact case study has been identified as not for publication or redaction.

36. Anonymised parts of staff data will be passed to the REF Equality and Diversity Advisory Panel for the purpose of monitoring the diversity of staff.

## Training in the application of the Code of Practice

37. Equality and diversity training is mandatory for decision-making members of the Research Committee and members of the REF Steering Executive and its sub-committees (Impact Case Studies sub-committee, *Environment working group*), and for staff involved in identifying staff with significant responsibilities for research, determining research independence and selecting outputs for the REF 2021 submission. All those involved in decision making will be formally trained in its application by a discussion of this Code of Practice before any such

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[11] Summary of information from REF draft Guidance on Submissions (2018/01) – Data protection (paragraph 100 – 102).

decisions are made (see Appendix 3 : Equality Impact Analysis Guidance and Form). The training will include:

- A review of the legislative background

- The provisions of the Code of Practice for REF 2021

- Issues for individuals relating to non-selection

- How individual circumstances will be considered and taken into account

38. All staff with REF responsibilities will be provided with a copy of this Code of Practice, and all discussions which concern the REF 2021 submission must be carried out in accordance with this Code of Practice which sets out policies and procedures that the Institution will follow in identifying staff with significant responsibilities for research, determining research independence and selecting outputs. All training will be completed by [date].

## Principles – transparency, consistency, accountability and inclusivity

39. The four principles outlined below will be followed in all stages of preparing the Institution's submission to REF 2021.

| Transparency | • All processes concerned with identifying staff with significant responsibilities for research, determining research independence and selecting outputs for inclusion in REF 2021 submissions will be transparent.<br>• There will also be a consultation period for the Code of Practice to allow staff, trade unions and committees at St George's to comment and provide feedback.<br>• The Code of Practice will be publicised to all academic staff via email, including staff that are off-site. The Code of Practice will be published on the Institution's external website.<br>• Minutes of meetings held by the REF Steering Executive will be available for all staff to access on the staff intranet/website. |
|---|---|
| Consistency | • The Code of Practice will be implemented uniformly. The policy for identifying staff with significant responsibilities for research, determining research independence and selecting outputs will be consistent across the Units of Assessment submitted to REF 2021. All roles and responsibilities of the individuals and bodies involved in the REF submission will be identifiable (see Appendix 4: REF Steering Executive Membership and Terms of Reference). |

| Accountability | • The Code of Practice clearly defines the responsibilities of individuals and committees involved in selecting staff for submission to REF 2021 (see paragraphs X-X, REF Guidance on Submission [insert when final version of documents published by REF, end January 2019]). The Code of Practice also outlines the training that will be given to staff with decision making responsibilities (see Appendix 3: Equality Impact Analysis and Form, and Appendix 4: REF Steering Executive Membership and Terms of Reference). |
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| Inclusivity | • Staff will be provided with the opportunity for disclosing individual staff circumstances (see Appendix 11: REF 2021 Individual Circumstances Disclosure Form). Clearly defined criteria for individual circumstances will be disseminated and a mechanism put in place for consideration of cases. |

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

## Policies and procedure

### [DRAFT] Criteria for eligible staff to be returned to REF 2021

*[DRAFT] Policy for the criteria for eligible staff to be returned to REF 2021*

40. Eligible staff who will be returned by St George's for its REF 2021 submission will evidence all of the following criteria on the census date (31st July 2020):

    a. Have an employment contract with St George's, University of London of 0.2 FTE or greater.

    b. Work in an area of research aligned with the Units of Assessment that SGUL will submit to REF 2021.

    c. Are a member or joint member of a Research Institute (Infection and Immunity, Molecular and Clinical Sciences, or Population Health).

    d. Are employed as a Professor, Reader, Senior Lecturer or Lecturer (including Clinical posts) OR hold an independently funded fellowship on the approved REF2021 'List of independent research fellowships' (see Appendix 10: List of Independent Research Fellowships)[12] and have already been awarded their PhD or MD.

41. Alternatively for former members of SGUL staff:

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[12] List of independent research fellowships provided by REF https://www.ref.ac.uk/media/1030/list-of-independent-research-fellowships.pdf

e. Meet all of the above criteria but ceased to be employed by SGUL before the census date on 31st July 2020 (unless they were made redundant)[13] and SGUL has chosen to include one or more of their outputs e.g. journal article. The staff member will not be included in SGUL's FTE of Category A submitted staff, but their outputs are eligible to be included in the submission.

*[DRAFT] Procedure for the criteria for eligible staff to be returned to REF 2021*

42. The data will be used in the following exercises: internal mock REF exercise in autumn 2018 to early 2019; internal/external mock REF exercise in late 2019; data verification exercise in spring/summer 2020 before the census date (31st July 2020).

43. Data from the HR system reports will be verified alongside the HESA returns.

44. The data will be used for the final REF submission with a deadline of 27th November 2020.

45. Director for HR & OD, and the HR Systems and Information Officer, HR, report to the REF Steering Executive on eligible staff to be returned to REF 2021, in liaison with the Academic Lead for REF, Institute Directors and Research Strategy and Development Manager.

46. Reports will be presented at the REF Steering Executive meeting in early 2019, autumn 2019, spring/summer 2020, summer 2020 and autumn 2020. Additional reporting may be requested by the Academic Lead for REF.

## [DRAFT] Identifying staff with significant responsibility for research

*[DRAFT] Policy for identifying staff with significant responsibility for research*

47. St George's will follow the REF indicators to identify staff with significant responsibility for research (see (draft) REF Guidance on Submissions 2018/01, paragraph 140):

a. At SGUL staff with significant responsibility for research are those who are a member or joint member of a Research Institute. Membership of a Research Institute ensures the staff member has explicit time and resource made available for research, and there is an expectation that research is a significant part of their job role, as indicated in personal reviews and appraisals.

*[DRAFT] Procedure for identifying staff with significant responsibility for research*

48. The REF Steering Executive were presented with a paper, 'Summary of criteria for staff eligibility to return to REF 2021', on 1st November 2018, which was discussed and agreed by

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[13] The ineligibility of returning staff outputs by staff who have been made redundant by the HEI is under consultation by REF. REF's position on redundancy will be set out in the final Guidance on Submissions, due to be published at the end of January 2019, and thereafter incorporated into SGUL's final Code of Practice.

the Executive that the indicators in the REF Guidance on Submissions above aligned with SGUL's approach for submitting to REF 2021.

49. The paper was tabled and approved at the Research Committee on 15th November 2018.

## [DRAFT] Joint Membership between Institutes

50. The policy for Joint Membership between Institutes provides academic staff with the mechanism to apply for joint membership of two Institutes, including Research Institutes (Infection and Immunity, Molecular and Clinical Sciences, or Population Health), and the Institute for Medical and Biomedical Education (IMBE). SGUL already has a precedent of making Joint Appointments.

*[DRAFT] Policy aims and objectives for Joint Membership between Institutes*

51. St George's recognises that academic staff (Lecturers, Senior Lecturers, Readers, and Professors) can have varied responsibilities regarding research, teaching and scholarly activity and administration.

52. Research activity is concentrated in the three Research Institutes (Infection and Immunity, Molecular and Clinical Sciences, and Population Health), and Research Institute academics perform both research and teaching.

53. Teaching and education activity is concentrated in the Institute for Medical and Biomedical Education, and IMBE academics perform both teaching and research.

54. A proportion of academic staff in IMBE, who are not members of a Research Institute, are research active but do not formally have a significant responsibility for research, however they have research resources and expectations which indicate a significant contribution to research. These staff will be eligible for Joint Membership between Institutes.

55. IMBE staff who wish research to form part of their formal job expectations have the opportunity to apply for Joint Membership between Institutes and hold Joint Membership with IMBE and the relevant Research Institute.

56. Research Institute staff who wish education to form a substantial part of their formal job expectations have the opportunity to apply for Joint Membership between Institutes and hold Joint Membership with the relevant Research Institute and IMBE.

57. The process will be announced annually by the central Human Resources (HR) function.

58. It will be an opportunity to review the individual's academic workload distribution, resources available for research and teaching and agree expectations.

59. There will be an appeals process.

60. Non-membership of a Research Institute does not preclude staff from research activity, but would mean that they don't have a significant responsibility for research. SGUL encourages research activity for all academic staff notably research that contributes to teaching or staff development objectives.

*[DRAFT] Procedure, roles and responsibilities for Joint Membership between Institutes*

61. There will be an annual call for applicants that wish to apply for Joint Membership between Institutes.

62. Eligible staff will be Lecturers, Senior Lecturers, Readers and Professors with an academic contract with SGUL.

63. Staff should discuss expectations during their Performance Review with their line manager and/or with their current Institute Director within a year of applying

64. Eligibility and assessment criteria for Research Institute membership:

    a. A track-record of research as reflected in high quality publications and active involvement in original and recent research that is of a high standard; and/or

    b. Holding substantive research funding.

65. Eligibility and assessment criteria for IMBE membership:

    a. A track-record of active involvement in education as reflected in good student, peer and external examiner feedback and

    b. Recent involvement in curriculum design, innovative pedagogy and educational research, scholarship and leadership

    will be viewed favourably.

66. Where these criteria are found to be satisfied, a meeting between the applicants' current Institute Director and the relevant joint Institute Director, will be arranged to:

    a. Confirm eligibility and appropriateness of Joint Membership at this stage of career.

    b. Agree a formal workload distribution and percentage of academic time to be contributed to each Institute.

    c. Formally identify how any teaching commitments will be covered on a case-by-case basis.

    d. Identify research and teaching objectives and how they will be evaluated.

    e. Confirm how and when the joint membership will be reviewed (usually 3 years).

    f. Confirm any additional support to be provided, such as mentoring, training and/or research resources.

67. The Human Resources Business Partners, HR, will oversee and coordinate the application and selection process, receive applications, coordinate the selection panel, and advise the panel on legislation and policy, with support from the Associate Dean, Equality, Diversity and Inclusion.

68. The selection panel members will comprise of: the Institute Directors of both relevant Institutes/ They will be overseen and advised by the Human Resources Business Partners, HR, and the Associate Dean, Equality, Diversity and Inclusion.

69. Applicants who wish to appeal a decision on Joint Membership between Institutes should submit their case in writing to the coordinator for Joint Membership between Institutes (Human Resources Business Partners, HR), who will oversee and coordinate the appeals process.

70. The appeals process will be organised in confidence by HR, who will have an advisory role on the panel. The appeals panel members will be the Deputy Principal (Research & Enterprise) and the Deputy Principal (Institutional Affairs).

71. Data on the process of application, selection and appeals will be collected and reviewed annually to identify any improvement measures. The Associate Dean for Equality, Diversity and Inclusion, will conduct the review and report to the Research Committee.

72. Policy and procedure to be reviewed 3 years from policy approval date. Next date of review [insert date policy approved: June 2022 [TBC].

## Development of procedures

See Part 1: Training in the application of the Code of Practice.

## Appeals

### Grounds for appeal

73. The grounds for appeal against a decision not to include an individual in the REF 2021 submission on the grounds of identifying staff with significant responsibility for research, criteria for eligible staff to be returned to REF 2021 and joint membership between Institutes will only extend to Category A staff. The grounds for appeal will be that:

- 'individual staff circumstances' have not been given appropriate consideration;

- the procedure outlined in this Code of Practice was applied incorrectly.

## Appeals process

74. An individual who feels that he or she has been excluded from the submission to REF 2021 on grounds set out in the Grounds for appeal above can appeal against the decision.

   a. The appellant writes to the appropriate Institute Director setting out the grounds for appeal.

   b. The Institute Director shall meet with the appellant to discuss his or her appeal, and if possible shall, through discussion, come to an agreement over the appeal.

   c. If the appeal is not resolved at the informal stage, the member of staff may write to the Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise), formally stating that he or she wishes to appeal against the decision not to include him or her in the REF submission, setting out the grounds for appeal.

   d. The Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise) will seek written comments on the appeal from the Research Institute Director.

   e. The Deputy Principal (Institutional Affairs) and the Deputy Principal (Research & Enterprise) will meet with the appellant and the Research Institute Director to hear their case. At such a meeting, the appellant may, if he or she so wishes, be accompanied by a Trade Union Representative or a colleague. The Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise) will be accompanied by a representative from HR, to act as clerk to the process and prepare a written report on the appeal.

   f. The Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise) will make a judgement as to whether the procedure has been correctly followed and will make a report with a recommendation whether to uphold or dismiss the appeal.

   g. The appellant will be informed of the decision.

## Timetable for Appeals Procedure

*Provisional timetable for decisions on staff selected for inclusion in REF 2021:*

| Date | Activity |
|---|---|
| *31 July 2020* | *Deadline for staff to be informed by REF Steering Executive of inclusion/non-inclusion in REF 2021* |
| *31 July 2020 to 18 September 2020* | *Staff to discuss grounds for appeal with Research Institute Director. If the member of staff is not satisfied with the outcome then the member of staff must follow the appeals process.* |
| *18 September 2020* | *Deadline for appellant to submit grounds for appeal in writing to Research Institute Director* |

| 25 September 2020 | Deadline for written appeals to be submitted by Research Institute Directors to the Chair of Appeals Panel – Deputy Principal (Institutional Affairs) |
|---|---|
| 16 October 2020 | Final date for consideration of appeals by the appeals panel – Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise) |
| 23 October 2020 | Deadline for Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise)to make final decision on outcome of appeals |
| 30 October 2020 | Deadline for staff to be advised on the outcome of final appeal |

## Part 3: Determining research independence

## Policies and procedures

### Determining research independence

*Policy for determining research independence*

75. For the purposes of the REF, an independent researcher at SGUL is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme (see REF Guidance on Submissions, 2018/01, paragraph 130).

76. The indicators for determining research independence are designed to be completely transparent and clear for staff.

77. The indicators for determining research independence are:

   a. For determining research independence at St George's, staff must carry the job title and role of one of: Lecturer, Senior Lecturer, Reader, Professor, or;

   b. Hold an independently won, competitively awarded fellowship where research independence is a requirement, post PhD or MD.[14]

78. For the purposes of REF, research assistants are defined as academic staff whose primary employment function is 'research only', and they are employed to carry out another individual's research programme rather than as independent researchers in their own right. They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial

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[14] List of independent research fellowships provided by REF https://www.ref.ac.uk/media/1030/list-of-independent-research-fellowships.pdf

enterprises, but they may also be funded from the institution's own funds (see REF Guidance on Submissions, 2018/01, paragraph 132).

*Procedure for determining research independence*

79. The procedure for determining research independence is overseen by the Research Committee.

80. Determining research independence is identified by the type of appointment and employment contract with SGUL.

81. The REF Steering Executive discussed determining research independence on 28th June 2018. On 30th August 2018 the policy 'Independent researchers (suggested indicators)' was discussed and agreed by the Executive on the indicators for determining research independence for St George's REF 2021 submission. *The paper was discussed and approved at the Research Committee on [date].*

*Determining research independence – key roles and responsibilities*

82. See Part 2: Procedure for the criteria for eligible staff to be returned to REF 2021

## Part 4: Selection of outputs

## Policies and procedures

83. Units of Assessment under consideration for inclusion in St George's REF 2021 submission have been based on identification of the research strengths of the Institution and the development of focused Research Institutes within in those areas of strength. Only in the research areas identified within Units of Assessment will research outputs be submitted.

84. The research outputs selected must be focused in the Units of Assessment under consideration for submission to REF 2021 submission.

85. Final decisions on selection will be made on the basis of strong scientific excellence. The REF is not an appraisal of individual researchers; rather, it is an evaluation of St George's submitted research portfolio.

### Selection of outputs for submission

*[DRAFT] Policy for Selection of outputs*

86. *[Policy and criteria for selection of outputs is being developed by the REF Steering Executive]*

*[DRAFT] Procedure Selection of outputs – roles and responsibilities*

1. All outputs considered for REF to be collected in CRIS (Lead: Library)

2. Staff will be asked to put forward their favoured top 6 papers

3. Eligible outputs identified in CRIS (Lead: JRES)

4. Metrics used to initially rank outputs (Lead: JRES)

5. Internal panels appointed for each Unit of Assessment to read and score papers individually. All staff will be eligible to apply. Approximately eight to twelve will be chosen for experience (e.g. on research panels, journal editor). They will not necessarily be REF Steering Executive members. Equality, diversity and inclusion of panel members will be considered. Training will be provided and individual scoring collected electronically.

6. External assessment scores.

7. The strongest paper for each returned academic staff member will be identified for submission.

8. The remaining papers will be ranked, and the top papers chosen until cut-off of FTE x 2.5 reached, removing any papers that exceed maximum of 5 per academic.

9. Final decisions confirmed by REF Steering Executive.

## Disclosure of individual staff circumstances

### Overview of individual staff circumstances

87. The Code of Practice provides a framework within which recommendations and decisions of identifying staff with significant responsibilities for research, determining research independence and selection of outputs are conducted in a fair and transparent way with the aim of promoting equality and diversity, complying with legislation and avoiding discrimination.

88. Consideration will be given to any individual circumstances which may apply to an individual employed at St George's.

89. St George's will have the opportunity of confidentially reporting individual staff circumstances that may have significantly affected an individual's research activity or output in REF1b (see Appendix 20: Draft: Staff circumstances definition, REF 2021 Guidance on Submissions) in the period 1st January 2014 to 31st July 2020/31st October 2018 [TBC]. Such circumstances might include but are not restricted to:

a. Qualifying as an early career researcher (defined as starting their career as independent researcher on or after 1st August 2016)

b. Absence from work due to secondments or career breaks

c. Qualifying periods of family-related leave

d. Other circumstances (for example Junior Clinical Academic)

e. Circumstances equivalent to absence, that require a judgement about the appropriate reduction in outputs, which are:

  i. Disability

  ii. Ill health, injury, or mental health conditions

  iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare.

  iv. Other caring responsibilities (such as caring for an elderly or disabled family member)

  v. Gender reassignment

  vi. Other circumstances relating to the protected or relating to activities protected by employment legislation.

f. Part-time working

90. Information submitted in REF1b: Staff details will be kept confidential to St George's Human Resources and the REF Steering Executive.

91. Information submitted in REF1b: Staff details to the REF audit and data verification team, Equality and Diversity Advisory Panel, Main Panel Chairs, will be kept confidential; these members are subject to confidentiality undertakings in respect of all information contained in submissions.

92. REF sub-panels will know where a reduction in the overall number of outputs in the submitting unit has been agreed without penalty on the basis of individual circumstances, but will not have access to further information about the circumstances (2018/01 paragraph 191).

93. This Code of Practice will guide the decision making process in submitting a reduction in individual staff circumstances to REF.

94. The exclusion of a member of staff from the St George's REF 2021 submission will not carry implications for the employment of that individual.

## Process for Disclosure of Individual Staff Circumstances by staff

95. All decisions relating to submissions to REF 2021 will be made in accordance with the principles and criteria for inclusion and non-inclusion as detailed in this Code of Practice.

96. Members of staff who feel that individual circumstances may apply to them and who wish to make a statement of such circumstances will be invited to do so at the outset of preparations and at any time during the lead up to submission (from 1st September 2019, when the disclosure period opens for individual staff circumstances, to 27th November 2020, when the REF submission period ends).

97. The individual staff circumstances disclosure form for completion will be available on the SGUL portal, and can be requested by email from Diversity and Inclusion Adviser, HR. All requests must be submitted by 6th January 2020 to ensure inclusion in any reduction in the number of outputs that St George's makes to REF in March 2020. Disclosure forms may be submitted and revised after this date but will not be reported to REF but will be used for internal purposes. All eligible staff will be asked to complete this form between September 2019 and 6th January 2020. It will be communicated to staff by email from the Academic Lead for REF.

98. Individual circumstances forms should be submitted to Diversity and Inclusion Adviser, HR. Please note that this person is independent of the REF Steering Executive (see Appendix 11: REF 2021 Individual Circumstances Disclosure Form).


## Contacts

99. Further information can be requested by contacting:

- Yvonne Castle, Research Strategy and Development Manager, Joint Research and Enterprise Service ([ycastle@sgul.ac.uk](mailto:ycastle@sgul.ac.uk)), or

- Professor Jodi Lindsay, Academic Lead for REF and Professor of Microbial Pathogenesis, Institute of Infection and Immunity ([jlindsay@sgul.ac.uk](mailto:jlindsay@sgul.ac.uk))

## Part 5: Appendices – MUST INCLUDE

1. Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017

2. Diversity and Inclusion Membership and Terms of Reference

3. St George's Equality Analysis Guidance and Form

4. REF Steering Executive Membership and Terms of Reference

5. Research Committee Membership and Terms of Reference

6. St George's Senior Committee Structure

7. George's Weekly e-newsletter – REF update 1

8. REF Update 1 – staff email from REF Academic Lead

9. Code of Practice Staff Consultation Survey

10. List of Independent Research Fellowships

11. REF 2021 Individual Circumstances Disclosure Form

## Part 5: Appendices – MAY INCLUDE

12. Strategic Plan, 2017 – 2022

13. Operational Plan, 2017 – 2022

14. Information Strategy, 2017 – 2022

15. REF Steering Executive Membership and Terms of Reference, January 2018

16. SOP Data Protection

17. St George's Privacy Notice

18. Research Integrity statement

[Document not referenced in Part 1 but may include]

19. Preparing for the General Data Protection Regulation – email

20. Draft: Staff circumstances definition, REF 2021 Guidance on Submissions

21: Appendix 21: Key Performance Indicators – research

## Abbreviations

| SGUL | St George's, University of London |
|------|-----------------------------------|
| JRES | Joint Research and Enterprise Services |
| REF  | Research Excellence Framework |
| HR   | Human Resources |

| I&I | Infection and Immunity Research Institute |
|------|---------------------------------------------|
| MCS | Molecular and Clinical Sciences Research Institute |
| PHRI | Population Health Research Institute |
| IMBE | Institute of Medical and Biomedical Education |
| OD | Organisational Development |

## Part 5: Appendices – MUST INCLUDE

### Appendix 1: Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017

REF 2021 – draft Guidance on codes of practice (2018/03), table 1, summary of equality legislation.

Table 1: Summary of equality legislation

| Age | All employees within the higher education sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. |
|---|---|
| | Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45¬50. A person can belong to a number of different age groups. |
| | Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of the their age group. |
| | It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see 'Guidance on submissions', paragraphs 144 to 147) is not limited to young people. |
| | HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland. |
| Disability | The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled (for example, if they are responsible for caring for a disabled family member). |
| | A person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months. |
| | Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability. |
| | The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. |

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|---|---|
| | There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis. |
| | While there is no definitive list of what is considered a disability, it covers a wide range of impairments including: |
| | sensory impairments |
| | impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy |
| | progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer |
| | organ specific impairments, including respiratory conditions and cardiovascular diseases |
| | developmental impairments, such as autistic spectrum disorders and dyslexia |
| | mental health conditions such as depression and eating disorders |
| | impairments caused by injury to the body or brain. |
| | It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability. |
| | Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). |
| Gender | The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment. |
| | Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole. |
| | The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent. |
| | Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care. |
| | If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a |

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| | reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 191. |
| | HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender |
| | Recognition Act 2004, which may include streamlining the procedure to legally change gender. |
| Marriage and civil partnership | Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people. |
| | HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships. |
| Political opinion | The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion. |
| | HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion. |
| Pregnancy and maternity | Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity. |
| | Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172. |
| | In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process. |
| | For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave. |
| Race | The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race. |
| | HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name). |
| Religion and belief | The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and |

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|---|---|
| including non- belief | victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief. |
| | HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives. |
| Sex (including breastfeeding and additional paternity and adoption leave) | The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex. |
| | The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. |
| | Consequently the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'. |
| | If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. |
| | Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172. |
| | HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women. |
| | HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime). |
| Sexual orientation | The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. |
| | Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation. |
| | HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation. |
| Welsh Language | The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the |

| | Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017. |
| | The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 278 and 279. |

**Appendix 2: Diversity and Inclusion Membership and Terms of Reference**

## Diversity and Inclusion Steering Group 2018/19

## Membership and Terms of Reference

### Purpose:

Valuing and celebrating diversity is a strategic priority for St George's, University of London. We aim to make St. George's a great place to work and study, where everyone can thrive.

To achieve our aims, we need to foster a culture that recognises and values the diversity of background, mindset, skills, experience, knowledge and expertise. Diversity and inclusiveness within our community contributes to enhanced thinking, innovation and effective decision making, and ultimately will help us achieve our vision to improve health through inspiring education and focused research.

### Terms of Reference:

1.  To steer the future direction of diversity and inclusion strategy.
2.  To provide governance for and leadership of work streams relating to D&I, including but not limited to widening participation, differential attainment and Athena SWAN, as well as generate ideas for future work streams.
3.  To oversee a programme of communications and engagement in relation to D&I to include internal and external communities (eg profile-raising activity, reinforcing messages around diversity, widening participation activity), and to lead on dissemination of communications within respective departments/institutes.
4.  To build insight and learning on D&I matters both within the steering group and across the organisation, including ensuring appropriate learning and development provision for D&I.
5.  To develop and drive accountability for D&I through respective departments/institutes and committees, as well as providing stewardship on diversity and inclusion matters.
6.  To act as positive role models as inclusive leaders, and develop a common set of values/behaviours for the wider organisation.
7.  To act as a consultative forum for HR strategy and initiatives to ensure that diversity and inclusiveness is placed at the heart of all people strategy and practice.
8.  To provide effective governance, leadership and advice to the D&I working group.
9.  To monitor performance in relation to D&I including setting and monitoring KPIs.
10. To act as advocates for diversity and inclusion across the organisation, raising awareness of D&I issues, trends and new thinking and identifying key insights to bring to the steering group eg issues/barriers.

### Reports to:

Executive Board

## Membership:

Chair:
Director of HR and Organisational Development / Deputy Principal (Institutional Affairs)

Members:
Principal
Chief Operating Officer
Associate Dean – Diversity and Inclusion
Institute Directors from at least 2 institutes

Academic Registrar
Dean – Faculty of Health, Social Care and Education
Dean for Students
Director of External Relations, Communications and Marketing
Student Union representative – Vice President (Education and Welfare)
2 x members from Academic or Professional Services areas appointed by an open process
Diversity and Inclusion Manager

Clerk:
EA to Deputy Principal (Institutional Affairs) & Director of HR&OD


Meetings will be held up to 4 times a year.


November 2018

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## Equality Analysis Guidance and Form

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At St George's we believe that Equality, Diversity and Inclusion should be at the heart of everything that we do.  We are proud of our diversity and want to ensure that everyone can fulfil their potential at both work and study.

We are committed to fulfilling the Public Sector Equality Duty (PSED) that is set out in section 149 of the Equality Act 2010.

In order to do this we must have due regard to the need to:-

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

The above are sometimes referred to as the three aims of the equality duty. The Equality Act explains that having due regard for advancing equality involves:

•Removing or minimising disadvantages suffered by people due to their protected characteristics.

•Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.

•Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

The 9 protected characteristics are:-

- ❖ Gender
- ❖ Disability
- ❖ Race
- ❖ Sexual Orientation
- ❖ Religion & Belief/Non Belief
- ❖ Pregnancy & Maternity
- ❖ Age
- ❖ Marriage & Civil Partnerships

❖ Gender Identity

We encourage the use of Equality Analysis (used to be known as equality impact assessment) to determine whatever process, policy, procedure we are reviewing or any change management we are undergoing at St George's to ensure that it does not have any adverse or negative impact on protected characteristic groups. You do not have to use this form, it is provided as a template to help work through the EA process. If you do not wish to use this form a checklist is provided for carrying out an equality analysis.

## Equality Analysis Checklist

1. Does the policy, process or procedure impact on students, staff or visitors?

2. If so, could it have a direct or indirect impact on the above groups particularly from protected characteristic groups?

3. Could this impact be positive, negative or not sure?

4. Have you consulted with any interested groups?
   *Particular members of staff or students*

5. Have you consulted any data or research?
   *This could be local data (staff survey or St George's student data) or national data (NSS or national research)*

6. After considering the above think about any adverse, negative or positive impacts.

7. Make a record of these impacts, along with possible mitigating actions to ensure that if you decide to go forward with the review or introduction of the policy, process or procedure that you have considered and implemented any mitigating actions to endure that any barriers are eradicated.

1.    Does the policy, process or procedure impact on students, staff or visitors?

Yes [ ]                    No [ ]                    Not Sure [ ]

2.    If so, could it have a direct or indirect impact on the above groups particularly from protected characteristic groups?

Yes [ ]                    No [ ]                    Not Sure [ ]

3.    Could this impact be positive, negative or not sure?

Yes [ ]                    No [ ]                    Not Sure [ ]

4.    Have you consulted with any interested groups?
      *(Particular members of staff or students)*

Yes [ ]                    No [ ]

Please provide more information

|  |
|  |

5. Have you consulted any data or research?

*This could be local data (staff survey or St George's student data) or national data (NSS or national research)*

Please provide more information

|  |
|--|
|  |

6. After considering the above think about any adverse, negative or positive impacts.

| Protected Characteristic Group | Positive | Negative | Adverse | Commentary & Mitigating Actions |
|---|---|---|---|---|
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

Always make sure you make a record of these impacts, along with possible mitigating actions to ensure that if you decide to go forward with the review or introduction of the policy, process or procedure that you have considered and implemented any mitigating actions to ensure that any barriers are eradicated.

Author:

Dated:


Please keep a record of this EA.  If you require help, support or guidance contact:-

Ammara Khan - Diversity & Inclusion Manager          amkhan@sgul.ac.uk

Vanessa Ho  - Associate Dean Diversity & Inclusion          vho@sgul.ac.uk

Emma Catlow – Disability Advisor (Students)          ecatlow@sgul.ac.uk

## Appendix 4: REF Steering Executive Membership and Terms of Reference

## REF 2021 Steering Executive, 2018 – 2019

## Membership and Terms of Reference

**Purpose:** St George's, University of London REF 2021 Steering Executive is a sub-group of the Research Committee. It is chaired by the Academic Lead for REF 2021. The Executive provides leadership to enable a successful REF 2021 submission.

**Terms of Reference:**

The REF 2021 Steering Executive will be expected to:

1. Take responsibility for leading, developing and implementing St George's REF 2021 submission.
2. Take responsibility for developing the SGUL Code of Practices, including an appropriate appeal process with HR, for REF 2021.
3. Take responsibility for delivering the REF 2021 process in line with the SGUL Code of Practice.
4. Ensure that each Unit of Assessment (UoA) complies with the SGUL Code of Practice.
5. Receive advice from and to advise research institutes / UoAs within SGUL on the configuration and context of submissions to the REF 2021.
6. Ensure that academic and research staff who are eligible for submission to the REF are kept informed of progress in formulating submissions and receive feedback on the inclusion or otherwise of their work to REF 2021.
7. Be responsible for the allocation of staff to UoAs and any other matters relating to the quality of the submission.
8. Make regular reports to the Research Committee and Executive Board. Report to Senate for information.
9. Receive feedback and to take appropriate actions on any appeals against a decision on staff eligibility or outputs inclusion, with HR in line with the SGUL appeal process and the SGUL Code of Practice.

**Reports to:**

Research Committee.

**Quorum:**

The minimum number of members present at a meeting is nine (half of the number of members). The Chair or Deputy of the REF 2021 Steering Executive must form part of the quorum.

**Meeting schedule:**

Meetings take place every six weeks on Thursdays from 15.00 to 17.00 in the Harry Axton meeting room when available.

Meeting dates for 2018 to 2019 confirmed on:

1st November 2018, 15.00 – 17.00
17th January 2019, H2.5 boardroom
14th March 2019
2nd May 2019
27th June 2019 (proposed to replace meeting on 4th July 2019)
5th September 2019

## Membership:

| | | |
|---|---|---|
| Chair: | Professor Jodi Lindsay | Academic Lead for REF 2021 |
| Deputy Chair: | Professor Jon Friedland | Deputy Principal (Research and Enterprise) |
| Members: | | |
| | Professor Dot Bennett | Research Institute Director, Molecular and Clinical Sciences |
| | Professor Julian Ma | Research Institute Director, Infection and Immunity |
| | Professor Peter Whincup | Research Institute Director, Population Health |
| | Professor Jane Saffell | Institute Director, Medical and Biomedical Education |
| | Dr Dan Forton | Associate Medical Director (Research), SGUHFT |
| | Professor Cilla Harries | Associate Dean for Research and Innovation, FHSCS |
| | Professor Deborah Bowman | Deputy Principal (Institutional Affairs) |
| | Dr Vanessa Ho | Associate Dean for Equality Diversity and Inclusion |
| | Jenny Winters | Deputy Director of Human Resources and OD |
| | Mark Cranmer | Director of Joint Research & Enterprise Services |
| | Louise Phillips | Head of Research Funding, JRES |
| | Professor Juan Carlos Kaski | Chair of REF Impact Case Studies sub-committee; and Clinical Academic Representative (Cardiology) |
| | Professor Tom Harrison | Clinical Academic Representative (Infection) |
| | Professor Peter Garrard | Clinical Academic Representative (Neuroscience) |
| | Dr Alicja Rudnicka | Researchers Representative |
| | Dr Laura Southgate | Researchers Representative |
| Clerk: | Yvonne Castle | Research Strategy and Development Manager, JRES |

17/01/2019

## Appendix 5: Research Committee Membership and Terms of Reference

## Research Committee

## Membership and Terms of Reference

**Purpose:** To oversee all aspects of research strategy and operations (including research enterprise) at St George's, University of London, including to put in place the infrastructure and frameworks to enable research to excel; to assess research performance; to review and respond to external research drivers; and to make strategic and operational decisions regarding research.

**Terms of Reference:**

1. To advise Senate and Executive Board on all matters relating to the research in SGUL, to support the development of SGUL Research Strategy and to be responsible for the implementation and monitoring of Research Strategy.

2. To help the Deputy Principal (Research & Enterprise) set research priorities,

3. To advise Senate and Executive Board on the resources and organisational structures required to deliver a successful research agenda.

4. To set policy and procedures relating to research.

5. To review external research funding opportunities, and determine SGUL's approach to funding opportunities, including for major funding calls to decide which academics or academic groups should apply to maximise SGUL's chances of success.

6. To put in place the infrastructure for an excellent research environment for all staff involved in research activities and to support research staff and student training and career development.

7. To help formulate plans on the development, refurbishment and allocation of space for research (within the overall research space provision).

8. To support SGUL strategic research partnerships including with St George's University Hospitals NHS Foundation Trust.

9. To review overall research performance, including individual and group grant success, financial performance, and progress against internal and external targets.

10. To support the work of the REF lead and the REF Steering Executive in the current REF cycle and the equivalent in future returns.

11. To oversee allocation of central research funds set aside for specific purposes, e.g. bridging funding.

12. To have oversight of, support and receive reports from all research support services, including Joint Research & Enterprise Services, core research facilities (including the Biological Research Facility), Research Institute operations and the research-specific activities of other professional services areas (e.g. Library).

13. To understand and act upon all major issues in relation to Health & Safety and to receive reports from and support the work of the Safety Management Committee and its Chair.

14. To Receive reports from and support the Research Ethics Committee and to consider the annual Research Integrity Statement

15. To receive regular reports and referred matters from the Research Ethics Committee, HR Excellence in Research Monitoring Group, Human Tissue Licence Review Group, Joint Clinical Research Committee, REF Steering Executive Committee, Research Data Management Working Group, Research Steering Group, Research Governance Committee, and Scholarly Communications Group.

**Reports to: Senate and Executive Board**

**Membership:**

| | |
|---|---|
| Deputy Principal (Research & Enterprise) (Chair) | Professor Jon Friedland |
| Secretary | Christine Southam |
| Secretary | Yvonne Castle |
| Principal | Professor Jenny Higham |
| Deputy Principal (Institutional Affairs) & Athena Swan lead | Professor Deborah Bowman |

Associate Medical Director (Research), St George's University Hospitals Foundation Trust (SGUHFT)
                                        Dr Dan Forton

| | |
|---|---|
| Academic Lead for REF | Professor Jodi Lindsay |

Institute Directors (or designee)
| | |
|---|---|
| Molecular and Clinical Science Research Institute | Professor Dot Bennett |
| Infection and Immunity Research Institute | Professor Julian Ma |
| Population Health Research Institute | Professor Peter Whincup |
| Institute of Medical and Biomedical Education | Professor Jane Saffell |

| | |
|---|---|
| Associate Dean for Research & Innovation, Faculty of Health, Social Care & Education (FHSCE) | Professor Cilla Harries |
| Associate Dean for Career Development (Academic Staff) | (post vacant) |
| Head of Graduate School | Dr Rachel Allen |
| Director of Joint Research and Enterprise Services (JRES) | Mark Cranmer |
| Head of Research Funding (JRES) | Louise Phillips |

Early Career Researcher Representatives
| | |
|---|---|
| University Lecturer representative | Dr Angela Donin |
| Postdoctoral scientist representative | Dr Arya Gupta |
| PhD student representative | (to be appointed) |

| | |
|---|---|
| Scholarly Communications Working Group, Chair | Dr Atticus Hainsworth |
| Chief Operating Officer | Paul Ratcliffe |
| Director of Research Operations | Katia Nesbitt |
| Senior Laboratory Manager | Dr Penelope Lympany |
| Head of Biological Research Facility (BRF) | Robert Bond |
| Chair Safety Management Committee (Alternate: Safety Health and Environmental Manager | Professor Deborah Baines Anne Harris) |
| Director of Finance | Nicola Arnold |

| | |
|---|---|
| Research Finance Manager | Cerys Ledger |
| Director of Planning | Dr Julie Leeming |
| Director of External Relations & Communications | Caroline Davis |
| Director, Human Resources Organisational Development | Jenny Winters |
| Director of Estates and Facilities | Derek Bannister |
| St George's Research Ethics Committee, Chair | (post vacant) |
| Associate Director of Information Services Content and Digital Infrastructure Manager | Sue David – alternate with Lawrence Jones |

Research Institute Managers
      Molecular and Clinical Sciences      Jo Eggleton
      Infection and Immunity      Melanie Monteiro
      Population Health      Dorota Smith / Cheryl Watson

Director of Education Operations, (IMBE)      Vanessa Powell

[17/12/18]

# Appendix 6: St George's Senior Committee Structure

Council

Senate

Executive Board

Safety Management Committee

TJU Steering Group

Quality Assurance & Enhancement Committee

Education Student Strategy Committee

Risk, Audit & Efficiency Committee

Audit Committee

Marshall

Student Progress & Monitoring Committee

Academic Forum

Research Committee

Diversity & Inclusion Committee

Finance Committee

UNic

Student Support & Welfare Committee

UMBEC Monitoring Committee

Research Degrees Committee

Resource Review Committee

Principal's Remuneration Committee

Faculty Quality Committee

Taught Post-Graduate Courses Committee

Joint Strategic Executive Committee

Senior Staff Remuneration Committee

Joint Implementation Board

Nominations & Honorary Awards Committee

## Appendix 7: George's Weekly e-newsletter – Update 1

**DRAFT TEXT**

**REF2021 Code of Practice – we want your say**

St George's will submit its Code of Practice in June 2019 for REF2021. The Code of Practice describes our strategy for:
- Identifying staff with significant responsibility for research
- Determining research independence
- Selection of outputs (papers)

It will also include details on the new policy and procedure for applying for joint membership of institutes.

Jodi Lindsay, Academic Lead for REF2021 would like your views on the draft consultation. To contribute please click here [insert hyperlink].  The feedback survey will close on 28 February.

You are also invited to a staff event to learn more about St George's strategy for REF2021, including the Code of Practice and to discuss your feedback.

**Event details:**
Thursday 14 February
1-2pm
Lecture Theatre B

All staff are welcome to attend.

Feedback on the Code of Practice will be collated, then discussed at the REF Executive Steering committee, and where appropriate, incorporated into the final version of the Code of Practice.

Any questions? Please email Jodi Lindsay jlindsay@sgul.ac.uk or the Research Strategy & Development Manager Yvonne Castle ycastle@sgul.ac.uk.

## Appendix 8: REF Update 1 – staff email from REF Academic Lead

Email title: REF2021 update 1 – Which papers will be submitted?

Dear colleagues,

To keep in touch about progress made on St George's REF2021, I'll be writing to you to provide regular updates.

Today, I want to talk about how to ensure your top papers are eligible for REF2021 submission.

[screen shot]

### How do we prioritise papers

I get the most questions about point 4. St George's has just finished its first mock REF exercise and we need to make difficult judgements on how we prioritise papers for our submission. Here are some guidelines:

- Lead or corresponding author papers are favoured.
- Many papers these days have multiple lead authors, so don't be shy about asking for it when appropriate.
- If a lead author is also the corresponding author, think about whether it would be strategic to include another St George's colleague instead.
- All returned staff have to submit one paper. You can't submit more than five papers and we can only submit each paper once. If you have collaborators at St George's, please come up with a strategy to make this happen and make sure your papers are eligible.

### How many authors can be on a paper?

See that statement about nine or less authors?  The original guidance was five authors, which was updated in July 2018 to nine authors.  The latest gossip is that this might move to as many as 15, and this will be confirmed in late January 2019. We will let you know as soon whether this has been confirmed.

### What if my paper has ten or more authors?

We will prioritise papers with nine or less authors more highly than ten or more if our academic is in the middle of the list. For a paper with ten or more authors, a statement of Author Contribution in the manuscript is important. If that statement is missing, it will be a risk for us to include that paper in St George's REF submission. If we decide it is worth the risk, we will request a detailed statement of contribution from you signed by the corresponding author, as we expect to be audited.

**What about Reviews?**

We know there are some subject areas (UoA2) where certain types of Review are able to meet the REF2021 criteria for being world-leading in terms of originality, significance and rigour. Cochrane UK have indicated they think systematic reviews should have clear impact, and one way to interpret that is it should be obvious from the abstract. We also know from talking to REF panel members that they judge reviews very strictly and want to see clear evidence in the review itself that the criteria have been met. Biologists have told me not to submit reviews at all.  So we will have to consider the risks carefully when making decisions about whether to submit reviews.

**How will we decide on which papers are submitted?**

Our current plan is:

- Papers must be in CRIS and eligible
- Academics will have the opportunity to comment on their top papers using the new functionality in CRIS
- Publication metrics, such as WoS citation count and JIF, will be used to short-list papers (St George's expects to have >10 000 by 2020)
- We will have an internal panel of experts who will read and grade papers
- External REF assessment will be sought on some papers
- For all returned academic staff, the best paper will be identified.
- A list of the remaining papers will be ranked and the cut-off set at 2.5 x FTE, removing those papers where an author has >5.
- The REF Steering committee will make the final decisions.


The library offer excellent support on depositing your papers in SORA via CRIS. It must be within three months of acceptance or it will not be eligible.

Further information is on the Portal, along with a copy of the REF presentation given to all staff in mid-2018.  All the REF2021 guidance documents are available online.


Happy to answer your queries and good luck with your paper submissions!

Professor Jodi Lindsay

Academic Lead for REF

# St George's, University of London (draft) Code of Practice REF 2021 – staff consultation

## Purpose of the consultation

The draft Code of Practice document is for consultation. The document and survey has been circulated to all staff at St George's, University of London. We welcome responses from individuals or groups from across the university, although this isn't a requirement.

## Context of the Code of Practice

The Code of Practice applies to all those involved in the preparation and submission of St George's REF 2021 return. It provides a framework within which recommendations and decisions of identifying staff with significant responsibilities for research, determining research independence and selection of outputs, are conducted in a fair and transparent way with the aim of promoting equality and diversity, complying with legislation and avoiding discrimination. St George's will adhere to the four main principles of REF 2021 to guide the Code of Practice: transparency, consistency, accountability and inclusivity.

The Code of Practice has been drafted by Professor Jodi Lindsay, Academic Lead for REF, with support from Yvonne Castle, Research Strategy and Development Manager, JRES, with additional input from across the university.

## REF 2021

Additional information and context REF 2021 publication Code of Practice is available at: https://www.ref.ac.uk/publications/draft-guidance-on-codes-of-practice-201803/

## Action required

The questions for consultation are set out in the survey. The draft Code of Practice is available at: [insert hyperlink], which should be read in advance of responding to the survey. Responses to this consultation are invited from individuals or groups employed by St George's, University of London. Responses to this consultation should be submitted by 4pm on Thursday 28th February 2019 using the online survey. The survey can be accessed at: [insert hyperlink]. The consultation is open from 29th January 2019 to 28th February 2019.

Responses received through the online form by the deadline will be reviewed and included in our analysis. Additional opportunity to respond will be made available at the REF Code of Practice consultation event on 14th February, 12pm – 1pm.

Sections in *italics* refer to activities that take place in the future (as of the date of circulating the draft Code of Practice). The sections in italics may form part of a final document if/when the relevant actions/processes have been completed and approved.

When the consultation period ends on 28th February 2019, 4pm, the Academic Lead for REF will lead the review of responses. Responses will be read, recorded and analysed to inform any changes to the final Code of Practice document.

A summary of responses including how concerns will be addressed in the Code of Practice and how feedback will inform the Code will be presented by the REF Academic Lead to the REF Steering Executive and will be communicated to all staff at an open forum event in June/July 2019.

## Staff consultation questionnaire

## Respondent details

- Name:

- Job role: Academic; Professional Services *

- Job title:

- Department:

- Institute: Infection & Immunity; Molecular and Clinical Sciences; Population Health; Medical and Biomedical Education; Professional Services; *

* required information

## Part 1: Introduction

### Q1.a. Guidance is clear in Part 1

Tick box: Strongly agree, Agree, Neither agree nor disagree, Disagree, Strongly disagree

### Q1.b. Please provide any comments on Part 1: equality and diversity.

Comment box: [max 300 words]

### Q1.c. Please provide any comments on Part 1: communications.

Comment box: [max 300 words]

### Q1.d. Please provide any comments on Part 1: any other general comments.

Comment box: [max 300 words]

## Part 2: Identifying Staff with significant responsibility for research

### Q2.a. Guidance is clear in Part 2

Tick box: Strongly agree, Agree, Neither agree nor disagree, Disagree, Strongly disagree

### Q2.b. Please indicate your agreement with the policies and processes in Part 2

Tick box: Strongly agree, Agree, Neither agree nor disagree, Disagree, Strongly disagree

### Q2.c. Please provide any comments on Part 2: Criteria for eligible staff to be returned to REF 2021.

Comment box: [max 300 words]

### Q2.d. Please provide any comments on Part 2: Identifying staff with significant responsibility for research.

Comment box: [max 300 words]

### Q2.e. Please provide any comments on Part 2: Joint Membership between Institutes.

Comment box: [max 300 words]

### Q2.f. Please provide any comments on Part 2: Appeals.

Comment box: [max 300 words]

### Q2.g. Please provide any comments on Part 2: any other general comments.

Comment box: [max 300 words]


## Part 3: Determining research independence

### Q3.a. Guidance is clear in Part 3

Tick box: Strongly agree, Agree, Neither agree nor disagree, Disagree, Strongly disagree

### Q3.b. Please indicate your agreement with the policies and processes in Part 3

Tick box: Strongly agree, Agree, Neither agree nor disagree, Disagree, Strongly disagree

### Q3.c. Please provide any comments on Part 3: Determining research independence.

Comment box: [max 300 words]

### Q3.d. Please provide any comments on Part 3: any other general comments.

Comment box: [max 300 words]

## Part 4: Selection of outputs

### Q4.a. Guidance is clear in Part 4

Tick box: Strongly agree, Agree, Neither agree nor disagree, Disagree, Strongly disagree

### Q4.b. Please indicate your agreement with the policies and processes in Part 4

Tick box: Strongly agree, Agree, Neither agree nor disagree, Disagree, Strongly disagree

### Q4.c. Please provide any comments on Part 4: Selection of outputs.

Comment box: [max 300 words]

### Q4.d. Please provide any comments on Part 4: Individual staff circumstances.

Comment box: [max 300 words]

### Q4.e. Please provide any comments on Part 4: any other general comments.

Comment box: [max 300 words]


## Part 5: Appendices

### Q5.a. Please provide comments on Part 5: Appendices

Comment box: [max 300 words]

## Appendix 10: List of Independent Research Fellowships

Accessed from the REF 2021 website: https://www.ref.ac.uk/media/1030/list-of-independent-research-fellowships.pdf

Table 1 provides a list of competitive research fellowships, presented in alphabetical order by funder, that have been confirmed by the funder to require research independence. This list is intended to guide institutions when developing their criteria to identify independent researchers. It should not be taken to be exhaustive and the funding bodies recognise that many relevant fellowship schemes are not captured, including research fellowships funded by HEIs, which may require research independence.

Those asterisked support the transition to independence. Applicants should demonstrate readiness to become independent and the award enables them to become so. It could be argued those at the start of an award are not 'independent' yet, but those well in the award may be.

*Table 1*

| Funder | Fellowship scheme |
|---|---|
| AHRC | AHRC Leadership Fellowships - Early Career Researchers |
| AHRC | AHRC Leadership Fellowships |
| | |
| BBSRC | BBSRC David Phillips Fellowships |
| BBSRC | BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships) |
| | |
| British Academy | BA/Leverhulme Senior Research Fellowships |
| British Academy | British Academy Postdoctoral Fellowships |
| British Academy | JSPS Postdoctoral Fellowships |
| British Academy | Mid-Career Fellowships |
| British Academy | Newton Advanced Fellowships |
| British Academy | Newton International Fellowships |
| British Academy | Wolfson Research Professorships |
| | |
| British Heart Foundation | Career Re-entry Research Fellowships |
| British Heart Foundation | Clinical Research Leave Fellowships |
| British Heart Foundation | BHF-Fulbright Commission Scholar Awards |
| British Heart Foundation | Intermediate Basic Science Research Fellowships |
| British Heart Foundation | Intermediate Clinical Research Fellowships |
| British Heart Foundation | Senior Basic Science Research Fellowships |
| British Heart Foundation | Senior Clinical Research Fellowships |
| British Heart Foundation | Springboard Award for Biomedical Researchers |
| British Heart Foundation | Starter Grants for Clinical Lecturers |
| | |
| Cancer Research UK | Advanced Clinician Scientist Fellowship |

| | |
|---|---|
| Cancer Research UK | Career Development Fellowship |
| Cancer Research UK | Career Establishment Award |
| Cancer Research UK | Senior Cancer Research Fellowship |
| | |
| EPSRC | EPSRC Early Career Fellowship |
| EPSRC | EPSRC Established Career Fellowship |
| EPSRC | EPSRC Postdoctoral Fellowship*1 |
| | |
| ESRC | ESRC Future Cities Catapult Fellowship |
| ESRC | ESRC Future Leaders Grant |
| ESRC | ESRC/Turing Fellowships |
| ESRC/URKI | Early Career Researcher Innovation Fellowships |
| | |
| European Research Council | ERC Advanced Grants |
| European Research Council | ERC Consolidator Grants |
| European Research Council | ERC Starting Grants |
| | |
| Health Education England | ICA Clinical Lectureship |
| Health Education England | ICA Senior Clinical Lectureship |
| | |
| Leverhulme Trust | Early Career Fellowship |
| Leverhulme Trust | Research Fellowship |
| Leverhulme Trust | Emeritus Fellowship |
| Leverhulme Trust | Major Research Fellowship |
| Leverhulme Trust | International Academic Fellowship |
| | |
| MRC | MRC Career Development Awards* |
| MRC | MRC New Investigator Research Grants (Non-clinical)* |
| MRC | MRC New Investigator Research Grants (Clinical)* |
| MRC | MRC Clinician Scientist Fellowships* |
| MRC | Senior Non-Clinical Fellowships |
| MRC | Senior Clinical Fellowships |
| | |
| NC3R | David Sainsbury Fellowship |
| NC3R | Training fellowship |
| | |
| NERC | Independent Research Fellowships |
| NERC/UKRI | Industrial Innovation Fellowships |
| NERC/UKRI | Industrial Mobility Fellowships |
| | |
| NIHR | Advanced Fellowship |
| NIHR | Career Development Fellowship |
| NIHR | Clinical Lectureships |
| NIHR | Clinical Trials Fellowship |
| NIHR | Clinician Scientist |

| | |
|---|---|
| NIHR | Development and Skills Enhancement Award |
| NIHR | Knowledge Mobilisation Research Fellowship |
| NIHR | Post-Doctoral Fellowship |
| NIHR | Research Professorship |
| NIHR | School for Primary Care Post-Doctoral Fellowships |
| NIHR | Senior Research Fellowship |
| | |
| Royal Academy of Engineering | RAEng Engineering for Development Research Fellowship |
| Royal Academy of Engineering | Industrial Fellowships |
| Royal Academy of Engineering | RAEng Research Fellowship |
| Royal Academy of Engineering | RAEng Senior Research Fellowship |
| Royal Academy of Engineering | UK Intelligence Community (IC) Postdoctoral Research Fellowship |
| | |
| Royal Society of Edinburgh | RSE Arts & Humanities Awards (for permanent staff) |
| Royal Society of Edinburgh | RSE Personal Research Fellowship |
| Royal Society of Edinburgh | RSE Sabbatical Research Grants (for permanent staff) |
| | |
| STFC | CERN Fellowships |
| STFC | Ernest Rutherford Fellowship |
| STFC | ESA Fellowships |
| STFC | Innovations Partnership Scheme Fellowships |
| STFC | Returner Fellowships |
| STFC | RSE/STFC Enterprise Fellowships |
| STFC | Rutherford International Fellowship Programme |
| | |
| UKRI | UKRI Future Leaders Fellowships |
| UKRI | UKRI Innovation Fellowships |
| | |
| Wellcome Trust | Intermediate Fellowship in Public Health and Tropical Medicine |
| Wellcome Trust | Principal Research Fellowships |

## Appendix 11: REF 2021 Individual Circumstances Disclosure Form

### REF Guidance on Submissions (2018/01) – further information

The REF Guidance on Submissions document (2018/01), Staff Circumstances sets out guidance on individual staff circumstances that permit HEIs to submit reductions in the total number of the submitted FTE (full-time equivalent) for individual circumstances. Extracts of the staff circumstances have been summarised for staff. The full publication is available on the [REF website](#).

The UK funding bodies are committed to supporting and promoting equality and diversity in research careers. As part of this commitment, measures been put in place to recognise the effect that individuals' circumstances may have on research productivity.

The total number of outputs returned from each submitting unit must be equal to 2.5 times the combined FTE of Category A submitted staff included in the submission. A minimum of one output will be required for each Category A submitted staff member. There will be no minimum requirement for submitting the outputs of former staff. No more than five outputs may be attributed to any individual staff member (including former staff).

The decoupling of staff and outputs in REF 2021 is intended to provide increased flexibility to institutions in building the portfolio of outputs for submission. There are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members would be returned with the same number of outputs attributed to them in the submission.

As set out in REF 2018/03, to aid institutions in promoting equality, complying with legislation and avoiding discrimination, institutions must document in a code of practice and apply fair and transparent processes for the selection of outputs. The code must demonstrate how they have taken into account equality and diversity considerations, and any equality-related circumstances affecting staff ability to research productively during the period.

### St George's Code of Practice

This form should be submitted either in-person or by email to [vacant post], Diversity and Inclusion Adviser, Human Resources (insert email address). The deadline to receive forms is 6th January 2020.

| Name | |
|------|--|

| Job title | |
|---|---|
| Institute | |
| Line manager | |
| Unit of Assessment | Unit of Assessment 1: Clinical Medicine<br>Unit of Assessment 2: Public Health, Health Services and Primary Care<br>Not known<br>(delete as appropriate) |

| Section 1: | |
|---|---|
| **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 (Please complete sections 2 and 3) | |
| | |

| Section 2: Contact details | |
|---|---|
| **2.1 Please select your preferred method of contact as appropriate** | |
| a. I would like to be contacted by a member of Human Resources staff to discuss my circumstances and requirements and/or the support provided by St George's. | YES / NO (delete as appropriate) |
| b. I do not wish to be contacted by a member of Human Resources staff | YES / NO (delete as appropriate) |
| If you answered yes to 2.1.a<br>My contact details for this purpose are | |
| Email | |
| Telephone | |

| Preferred method of contact | Email / telephone (delete as appropriate) |
| --- | --- |

| Section 3: Individual circumstances |
| --- |
| **3.1 Individual circumstances** |
| I wish to make the University aware of the following circumstances which have had an impact on my ability to produce one output or work productively between 01 January 2014 and 31 October 2020. Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary. If the circumstance is not relevant to you, please leave blank. |

| **Circumstance: Early career researcher** Early career researchers are defined for the purposes of the REF 2021 submission as members of staff who started their careers as independent researchers on or after 01 August 2016. | |
| --- | --- |
| Date on which you became an early career researcher | |
| Further information (Brief summary of further information relating to this circumstance) | |

| **Circumstance: Absence from work due to secondment or career breaks** | |
| --- | --- |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of absence between 01 January 2014 to 31 July 2020 | |
| Further information (Brief summary of further information relating to this circumstance) | |

| **Circumstance: Qualifying periods of family-related leave** | |
| --- | --- |
| Type of leave from 01 January 2014 to 31 July 2020 | Statutory maternity leave / statutory adoption leave / additional paternity leave / additional adoption leave / shared parental leave (delete as appropriate) |

| | |
|---|---|
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of leave between 01 January 2014 to 31 July 2020 | |
| Further information<br>(Brief summary of further information relating to this circumstance) | |

**Circumstance: Junior Clinical Academic**

Defined as clinically qualified academics who are still completing their clinical training in medicine and dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |

**Circumstance: Absence due to a disability**

Disability is defined in the 'Summary of equality legislation' at the end of this document.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of leave between 01 January 2014 to 31 July 2020 | |
| Further information<br>(Brief summary of further information relating to this circumstance) | |

**Circumstance: Ill health, injury of mental health conditions**

Disability is defined in the 'Summary of equality legislation' at the end of this document.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of leave between 01 January 2014 to 31 July 2020 | |
| Further information | |

| (Brief summary of further information relating to this circumstance) | |
|---|---|

**Circumstance: Constraints relating to pregnancy, maternity, paternity, adoption or childcare**

Pregnancy and maternity, and sex discrimination is defined in the 'Summary of equality legislation' at the end of this document.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of leave between 01 January 2014 to 31 July 2020 | |
| Further information (Brief summary of further information relating to this circumstance) | |

**Circumstance: Other caring responsibilities**

Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled (for example, if they are responsible for caring for a disabled family member). Disability is defined in the 'Summary of equality legislation' at the end of this document.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of leave between 01 January 2014 to 31 July 2020 | |
| Further information (Brief summary of further information relating to this circumstance) | |

**Circumstance: Gender reassignment**

Gender reassignment is defined in the 'Summary of equality legislation' at the end of this document.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |

| | |
|---|---|
| Dates of leave between 01 January 2014 to 31 July 2020 | |
| Further information<br>(Brief summary of further information relating to this circumstance) | |

**Circumstance: Other circumstances relating to the protected characteristics**

The protected characteristics in the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of leave between 01 January 2014 to 31 July 2020 | |
| Further information<br>(Brief summary of further information relating to this circumstance) | |

**Circumstance: Part-time working**

As part-time working is taken account of within the calculation for the overall number of outputs required for the unit reduction requests on the basis of part-time working may be made for exception circumstances. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Start date in part-time role | |

**Circumstance: Other**

Other exceptional and relevant reasons, not including teaching or administrative work

| | |
|---|---|
| If this circumstance applies to you confirm here | YES / NO (delete as appropriate) |
| Duration of leave in months from 01 January 2014 to 31 July 2020 and dates (duration in months) | |
| Dates of leave between 01 January 2014 to 31 July 2020 | |

| Further information<br>(Brief summary of further information relating to this circumstance) | |
| --- | --- |

| Section 4: Signatory | |
| --- | --- |
| **4.1 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 Human Resources and the REF Steering Executive. | |
| 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. I recognise that if a joint submission is made, information may be shared with another institution. Where permission is not provided St George's will be limited in the action it can take. | |
| **Signature** | |
| **Name** | |
| **Date** | |

# Part 5: Appendices – MAY INCLUDE

## Appendix 12: Strategic Plan, 2017 – 2022

Full document available: https://sgul.ac.uk/about-us/strategy-2017-2022

# Shaping the future

**What does St George's, University of London stand for? What do we care deeply about? Developing this strategic plan as a community has been a time to reflect on those questions.**

Each year, we enthusiastically welcome new students and are reminded of the responsibilities and privileges we have as their educators. It is remarkable how fast our students learn and progress; before long, many will go on to work beside us as our colleagues. Our aim is to channel their initial excitement and to nurture and sustain a passion for learning that will support an entire career.

St George's excels in developing outstanding practitioners of science, medicine and healthcare. We are proud of the vitality of the learning relationships between our students and staff. One of the best aspects of St George's is the inclusive nature of our education and science; whether you are a career scientist or a first year undergraduate, we genuinely believe you should thrive here and fulfil your potential, regardless of background. We value excellence and recognise that education and research play an equal role in the delivery of our mission.

We are the only UK university dedicated to medicine, healthcare and science and we share our site with St George's University Hospitals NHS Foundation Trust. The integration of patients, healthcare workers, students and scientists creates a vibrant and dynamic environment. Being in Tooting, London, we are both part of a global city and a thriving local community. We take pride in our location – in our links with the local community, including its schools; in the employment opportunities we bring; and in its diversity, with a patient population who often supports our research.

Locally-gained knowledge and expertise often has worldwide application. Our specialist research on the great global health challenges ranges from fundamental science to the most practical of treatment applications. These diverse contributions are all part of our commitment to the better prevention, diagnosis and treatment of disease.

A university's success relies on establishing and motivating effective teams. We bring together varied skills and expertise, whether in scientific discovery, education or administration, each of which makes positive contributions to the whole. We also believe, emphatically, that diversity strengthens our community and are committed to making St George's an inclusive environment for all.

Alumni stories are great testimony to what a university can do and how it makes a mark on society. Recent St George's graduates continue to shape science and healthcare, as generations before them have done. Our famous alumni include those that advanced clinical practice such as John Hunter, the father of modern surgery, and Edward Jenner, who used scientific observation to develop vaccination.

This strategy sets out how we will sustain the excellence and impact of St George's. For over 260 years we have been pioneers in medicine, science and healthcare. We were the first university in the UK to introduce graduate-entry medicine and physician associate courses and we will continue to innovate. St George's is a place that sets the future agenda in health.

In developing our strategy we have to make choices and in the coming years we will measure ourselves against these priorities. At a time of extraordinary change, we need to be clear about what is at our core and what will make a valuable impact. We must also remain outwardly-focused, agile in response to the needs of society and ready to adapt, as the future unfolds.

St George's is a collegiate, inspiring university that is focused on improving health and this strategy sets out how we will meet our ambitions in the next five years. We hope that you share our pride and confidence in our university and will be part of the important contributions we make.

> **" We will sustain the excellence and impact of St George's.**

**Professor Jenny Higham**
Principal

## RESEARCH – Excellence and Impact

## Our objectives

- Increase societal impact by improving diagnosis and treatment and preventing disease
- Respond to new and emerging healthcare challenges through targeted intervention
- Develop our understanding of health through effective collaboration

## To achieve our objectives, we will:

- Pursue both fundamental and translational health sciences research
- Invest in our existing and emerging areas of research strength and rapidly adapt our research to new needs of society
- Extend strategic collaboration with St George's University Hospitals NHS Foundation Trust and other local healthcare providers and with research institutions nationally and internationally
- Provide a research environment that inspires innovation and enables people at all stages of their careers to reach their full potential
- Recognise, inspire and retain early career researchers to create scientific leaders of the future
- Maximise the impact of our research and its contribution to scientific knowledge and clinical practice
- Engage the public in our science and communicate widely the significance of our research
- Provide expert opinion at local, national and international levels to inform policy relevant to our vision and mission

| Strategic theme | Key Performance Indicator | Measure |
|---|---|---|
| Research | **COUNCIL KPI4**<br>Increase research income | Increase research income by 20% by 2020 and by 40% over the next five-year period |
| | **COUNCIL KPI5**<br>Increase the return on research overhead/PI time | Increase the return on research overhead/PI time to 16% by 2020 and to the sector average (currently 18% per year) over the next five years |
| | **COUNCIL KPI6**<br>Research Excellence Framework | To be defined post-issue of REF guidance |

## What we will do differently

Progress toward research KPIs will benefit from several measures already articulated in the plan:

*Personal.* An emphasis on the link between research grant funding/publications and promotion.

*Institutes.* Vetting of grant applications before submission. Better mentoring and support especially for early career researchers (ECRs) and Fellowship applicants. Pilot project support to provide preliminary data for new grant applications. Organising of research activities into Centres to achieve critical mass and foster collaborative working. Greater focus on our research strengths.

*JREO.* Improved management structure and PI support to increase the proportion and value of successful applications. Horizon scanning. Better costing of grants- inclusion of 'allowables' and appropriate PI time. Visits by Research Council and Charity funders to provide funding overviews and one-to-one contact with the funder.

*Institution.* To cultivate a high achieving, high morale environment wherein personal and institutional success is celebrated. To reflect that environment in our communications through an improved website. Better links with SGFT to maximize our research interfaces and the potential for translational research. Shared ethos and closer working with the Institute of Medical and Biomedical Education on co-development of courses taught in a research-intensive environment that benefit both research expansion and educational aspirations. Improvement in estates and new equipment provision to attract and retain the best.

| Operational statement | What does success look like? | Lead owner *(secondary lead)* |
|---|---|---|
| **R1** Balanced investment in both fundamental and translational work. | Appropriate portfolio of new Centres of Excellence and Clinical Academic Groups; critical mass of fundamental researchers.

Increased grant funding and higher quality research publications that ensue from multidisciplinary research.

Widen funding of both clinical and mechanistic/fundamental studies | Deputy Principal (Research) |
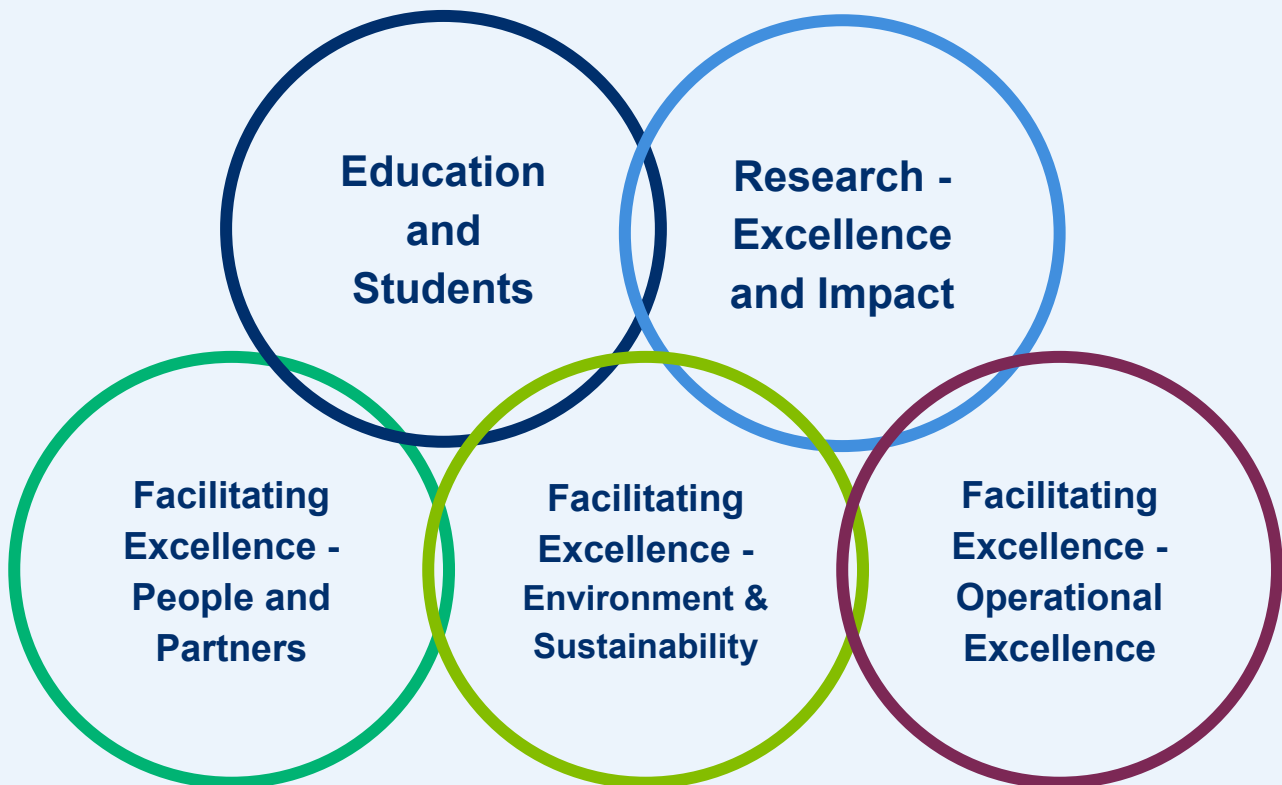| **R2** Joined up thinking with SGHT on commissioning new posts. | | Deputy Principal (Research) |
| **R3** Promote joint working between scientists and clinical researchers in CAGS and Centres. | | Deputy Principal (Research) |
| **R4** To deliver excellence and impact: (i) invest only in our areas of research with demonstrable or emerging excellence and societal impact; (ii) be agile and address the big challenges facing society and the developing world; invest in first-rate people with multidisciplinary skills. | Continued growth in established areas of strength. Success in developing new knowledge, preventative measures, new medicines, devices, and treatments that meet new health needs and rectify healthcare inequalities in low income countries. | Deputy Principal (Research) |
| **R5** Support and enhance our current Cardiology and Neurosciences Clinical Academic Groups. | Increased reputation, grant funding and overhead return. | Deputy Principal (Research) |

| | | |
|---|---|---|
| **R6** Recognise and develop Infection and Immunity, and Genomics as new opportunities. | Over the longer period, increased return from new educational courses.<br><br>Increased clinical trial funding. | Deputy Principal (Research) |
| **R7** Use Wellcome ISSF funding to target ECRs, pilot project support, and clinician PA time to strengthen links, critical mass and funding. | International recognition. Joint publications and strong impact cases for REF2021. | Principal/ Deputy Principal (Research) |
| **R8** Develop links with international partners in the US and elsewhere. | | Principal/ Deputy Principal (Research) |
| **R9** Focus research effort and investment on areas of proven or emerging excellence to gain critical mass and build internationally competitive research teams. | Improved quality of publications and increased grant support | Principal/ Deputy Principal (Research) |
| **R10** Embed PhD students, research assistants, postdoctorals and ECRs within these teams wherein they benefit from the mentorship and leadership of experienced senior investigators. | | Deputy Principal (Research) |
| **R11** Ensure an optimum environment by timely refurbishment of estate; provision of pump-priming money to secure larger grant funding; use bridging support to retain key staff. | | Deputy Principal (Research) |
| **R12** Facilitate excellent training of PhD students and clinical fellows through a cohort system and up-to-date supervisor training | | Deputy Principal (Research) |
| **R13** Develop a clear strategy around Early Career Researchers. Use both Institute and dedicated Wellcome ISSF funding to appoint a new cadre of ECRs targeted to our areas of research excellence. Ensure each ECR has a professional development path and performance plan with good mentorship, personal and research support. | Increased ECR recruitment. Excellent staff retention and progression to senior posts. Emergence of ECRs to become national and international leaders. | Deputy Principal (Research)/Director of HR&OD |
| **R14** Increase the number of high quality publications. | Increased number of quality papers published.<br><br>Increased citations (in scientific papers as well as relevant government green/white papers and guidelines). | Deputy Principal (Research)<br><br>*(Director of JREO)* |
| **R15** Encourage open access of research results (supported by open access fund to be created) and depositing of papers in SORA. | Invitations to speak at high profile conferences (e.g. as keynote speaker). | Deputy Principal (Research)<br><br>*(Director of JREO)* |
| **R16** Increase research enterprise (details in 'Facilitating Excellence'). | Translation of findings into practice. | Deputy Principal (Research) |

| | Increased media coverage. | *(Director of JREO)* |
|---|---|---|
| **R17** Involve research users in all stages of research, in particular translational/applied research. | | Deputy Principal (Research) *(Director of JREO)* |
| **R18** Present research at high profile conferences. | | Deputy Principal (Research) *(Director of JREO)* |
| **R19** Work with Communication department/media. | | Deputy Principal (Research) *(Director of JREO)* |
| **R20** Increase public engagement activities that communicate research and make it accessible. | | Deputy Principal (Research) *(Director of JREO)* |
| **R21** Collaborate with industry where applicable to facilitate and speed up realisation of impact. | | Deputy Principal (Research) *(Director of JREO)* |
| **R22** Develop and implement a refreshed public engagement strategy<br><br>Promote and deliver to a high standard a range of events to engage the public in the work of St George's.<br><br>Build effective partnerships that promote and enhance our public engagement activity | There is a clear strategic and operational approach to public engagement which emphasises the values that underpin a commitment to public engagement and provides the support, incentives and resources required for staff to develop their skills and practice. An institutional framework for public engagement activity will be predicated on the national manifesto (to which the University will become a signatory) and informed by participation in national and London-level networks. There will be consideration of how public engagement could be embedded in personal reviews, promotion criteria and staff development activities. | Deputy Principal (Institutional Affairs) with support from ERCM and Deputy Principal (Research) |
| **R23** Engage effectively with Charities, Research Councils, industry, government and international funders. | Increased representation on grant committees, government and NHS panels. Increased input into NICE and clinical working groups. Ideally, SGUL to have representation on all major funding/policy making bodies in our remit. | Deputy Principal (Research) |
| **R24** Provide press training to all high-profile SGUL staff | Better media engagement by staff across the research institutes | Deputy Principal (Research) with support from ERCM *(Press Officer)* |

# Information Strategy 2017-22

Information Services and Systems have developed the Information Strategy 2017–22 in alignment with, and to support delivery of, St George's Strategic and Operational plans.

The strategy is aligned to St George's five strategic themes and outlines Information Services and System's objectives and undertakings for each.

**Education and Students**

**Research - Excellence and Impact**

**Facilitating Excellence - People and Partners**

**Facilitating Excellence - Environment & Sustainability**

**Facilitating Excellence - Operational Excellence**

Information Services and Systems commit to supporting the pursuit of excellence in medicine, healthcare and science and embrace St George's CORE values: Commitment, Openness, Respect, Engagement.

# Information Strategy 2017-22

## Education and Students

Working with a new Technology Enhanced Learning Strategy will focus resources and drive innovation in education. The digital campus, using a new VLE with enhancements from tools and apps and fully integrating with other systems, will bring improvements to the student experience and transform teaching and learning across the institution.

Understanding teaching and learning by developing learning analytics, working in partnership across the institution will promote excellence in education as we continue to put students at the heart of our activities.

To achieve our objectives We Will:

- Put the student experience at the heart of Information Services' activities
- Work in partnership with colleagues to provide systems which promote innovation in education
- Develop and promoting the digital campus
- Support new initiatives with relevant resources which are realistically costed to ensure sustainability

## Research - Excellence and Impact

As an institution in the heart of a busy NHS Trust serving a diverse population in SW London research is a cornerstone of SGUL activity. We are known for our translational research and our infrastructure, systems and processes must support this. As we approach REF 2021 research takes centre stage and we support this through Open Access and Research Data Management systems as well as the development of High Powered Computing and compliance with the Information Governance Toolkit. Our web project will be a key tool for raising the visibility of researchers and reaching out to the public.

To achieve our objectives We Will:

- Increase capacity to match growth in research
- Invest in services and platforms which support the whole research life cycle
- Raise the visibility of researchers (via our external presence, CRIS and other means)
- Invest in the high quality information resources
- Offer training in the systems and services available
- Prioritise open science (OA and RDM)
- Ensure the institution complies with legal and ethical requirements (IG toolkit, GDPR)
- Invest in High Performance Computing

# Information Strategy 2017-22

## Facilitating Excellence - People and Partners

Communication across a large and vibrant institution is difficult and we will work with our colleagues to ensure that the infrastructure we invest in is fit for purpose to deliver the very best, ensuring that people are brought together to fulfil our ambitious institutional strategy and live out our values on a daily basis. Raising the digital capabilities of all staff is important and we will work to implement a digital capabilities framework which meets the needs of staff and students.

To achieve our objectives We Will:

- Improve communication and keep people informed
- Engage with partners and encourage collaboration
- Adopt a digital framework to increase digital capability of staff and students
- Enhance St George's reputation by exploiting our historic archive to our advantage

## Facilitating Excellence - Environment and Sustainability

Information Services is key to the delivery of inspirational physical and virtual environments. Our work and study spaces must be of the highest standards to meet the needs of all who use them. Working with stakeholders to understand needs and purpose spaces to meet those needs is fundamental to creating excellent environments.

To achieve our objectives We Will:

- Develop a strategic roadmap to introduce, improve and decommission services
- Create a SMART Campus
- Maintain our network infrastructure
- Consult with students to understand their needs
- Work with Estates to develop innovative learning and working spaces

## Facilitating Excellence - Operational Excellence

Efficient use of systems and streamlining of processes will help St George's achieve operational excellence. Core to the work of Information Services is maintaining infrastructure, systems and processes that are streamlined and fit for purpose, using the best systems, adapted for our unique needs.

To achieve our objectives We Will:

- Work in partnership with colleagues to streamline processes using efficient systems which contribute to operational excellence (e.g. administration over the whole student life cycle)
- Adopt efficient processes where information is obtained at source and shared between systems without duplication of entry
- Encourage colleagues to engage with systems to maximise their impact
- Provide the infrastructure to facilitate flexible working
- Improve internal communications to enhance business processes and achieve value for money and the efficient use of resources
- Review workflows to minimise print except where a physical signature is required

REF Steering Executive Membership and Terms of Reference from the first meeting, 5th January 2018.

## REF2021 Steering Executive

## Terms of Reference

St George's, University of London REF2021 Steering Executive is a sub-group of the Research Strategy Committee chaired by the Dean of Research. The Executive provides leadership to enable a successful REF2021 submission. Specifically, the REF2021 Steering Executive will be expected:

- To take responsibility for leading, developing and implementing St George's REF 2021 submission.
- To take responsibility for developing the SGUL Code of Practice for the Selection of Staff for Submission.
- To take responsibility for delivering the REF 2021 process in line with the SGUL Code of Practice.
- To ensure that each Unit of Assessment (UoA) complies with the SGUL Code of Practice.
- To receive advice from and to advise research institutes /UoAs within SGUL on the configuration and context of submissions to the REF 2021.
- To ensure that academic and research staff who are eligible for submission to the REF are kept informed of progress in formulating submissions and receive feedback on the inclusion or otherwise of their work to REF 2021.
- To be responsible for the allocation of staff to UoAs and any other matters relating to the quality of the submission.
- To make regular reports to the Research Strategy Committee, SPARC and Council for information.

## Constitution & Membership 2017-18

| | |
|---|---|
| **Dean of Research (Chair)** | Professor Mark Fisher |
| **Institute Directors** | Professor Dot Bennett |
| | Professor Julian Ma |
| | Professor Peter Whincup |
| | Professor Jane Saffell |
| **Associate Dean for Research & Innovation, FHSCS** | Professor Tom Quinn |
| **Associate Dean for Equality Diversity and Inclusion** | Dr Vanessa Ho |
| **Athena SWAN / Equality, Diversity and Inclusion Representative** | |
| | To be appointed |
| **Director of Human Resources** | Sarita Godber |
| **Director of Joint Research & Enterprise Office** | Mark Cranmer |
| **Research Strategy & Development Manager** | Dr Louise Kim |
| **Clinical Academic Representatives** | To be appointed (x2) |
| **Researchers** | To be appointed (x2) |

# 1. Introduction

The Institution needs to keep certain personal data, for example about its staff and students, to fulfil its purpose and to meet its legal obligations to funding bodies and government. To comply with the law, information must be collected and used fairly, stored safely and not disclosed to any other person unlawfully. To do this, the Institution must comply with the Principles which are set out in UK Data Protection Legislation.

# 2. Principles

Personal data shall:

- be processed lawfully, fairly and in a transparent manner

- be collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes

- be adequate, relevant and limited to what is necessary in relation to the purposes

- be accurate and, where necessary, kept up to date

- be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes

- be processed in a manner that ensures appropriate protection against unauthorised or unlawful processing, accidental loss, destruction or damage

The Institution and all its staff who process personal information must ensure that they follow these principles at all times. In order to ensure that this happens, the Institution has developed this Data Protection Policy.

Data Protection Legislation places an additional responsibility on the University to demonstrate our compliance with these Principles, which we do through the institution's Register Of Processing Activities (ROPA).

# 3. Status of the Policy

This policy has been approved by Council and any breach will be taken seriously and may result in more formal action.

Any member of staff or student who considers that the policy has not been followed in respect of personal data about themselves should raise the matter with the Institution's Data Protection Officer in the first instance.

# 4. Notification of Data Held and Processed

All staff, students and other users are entitled to:

- Ask what information the Institution holds about them and why

- Ask how to gain access to it

- Be informed how to keep it up to date

- Be informed about what the Institution is doing to comply with its obligations under Data Protection Legislation

## 5. Responsibilities of Staff and Students

All staff and students are responsible for:

- Checking that any personal data that they provide to the Institution about themselves is accurate and up to date

- Informing the Institution of any changes to information about themselves which they have provided, e.g. changes of address

- Checking any information that the Institution may send out from time to time, which give details of information that is being kept and processed

If, as part of their responsibilities, staff process information about other people (e.g. students, members of staff, participants in research studies), they must comply with this Policy, and with the University's Data Protection Guidelines and its guidance on other relevant aspects of data protection.

Students who use the Institution's computer facilities may, from time to time, process personal data. If they handle personal data they must do so in line with the University's policies and, where relevant, seek advice or guidance from the Institution's Data Protection Officer.

## 6. Data Security

The need to ensure that all University data, especially personal data, is kept securely means that precautions must be taken against physical loss or damage, and that both access and disclosure must be restricted.

All staff are responsible for ensuring that:

- All University data which they handle is kept securely

- All personal data which they handle is kept securely

- Personal and sensitive personal data being sent outside the Institution is encrypted and is sent using appropriate, secure mechanisms

- Personal information is not disclosed either orally, in writing or otherwise to any unauthorised third party

University members are also responsible for ensuring that data is disposed of securely using appropriate methods. Personal data held on paper must be disposed of as 'confidential waste' via an approved service. Advice on the disposal of electronically stored data should be obtained by contacting IT Services.

More detailed guidance on data security, and staff responsibilities for data security, is contained in the Data Protection Guidance Notes.

# 7. Rights to Access Information

Staff and students and other users of the Institution have the right to access any personal data that is being kept about them. Any person who wishes to exercise this right should make the request in writing to the Data Protection Officer.

The Institution aims to comply with requests for access to personal information as quickly as possible, but will ensure that it is provided within one month of receipt of a request, subject to confirmation of 'proof of ID, and unless exceptional circumstances prevent this from being possible. In such cases the individual will be contacted direct to discuss the situation further.

# 8. Publication of Institution Information

Certain information about members of the Institution will be 'in the public domain'. This would include, for example, information on staff contained within externally circulated publications or externally accessible webpages. Any individual who has good reason for wishing certain details about themselves to remain confidential outside the Institution should contact the Data Protection Officer.

# 9. Lawful Basis

The need to process data for normal business purposes forms part of the contract between SGUL and its staff and students. Details of this processing has been communicated to all staff and students through the relevant Privacy Notices. In some cases the processing of certain sensitive data may be necessary to operate the Institution's policies, such as health and safety and equal opportunities. Where data is sensitive, for example information about health, race or gender, processing will only ever take place for legitimate business purposes. No other processing of sensitive data relating to the Institution's members will take place without express consent.

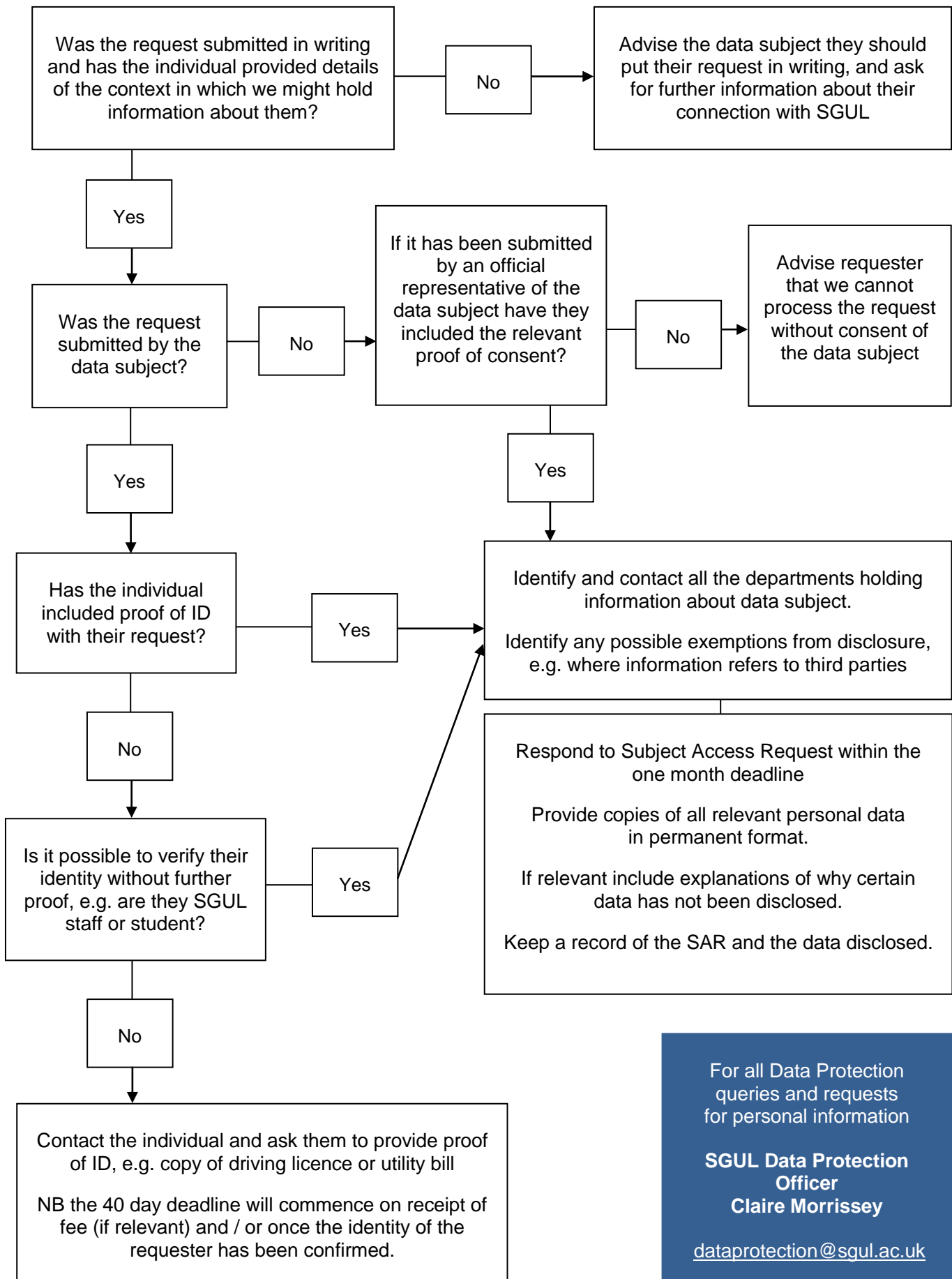# 10. The Institution's designated Data Controller

The Institution is the data controller under Data Protection Legislation and is therefore ultimately responsible for implementation. However, day to day matters will be dealt with by the Data Protection Officer, details of which are below:

Claire Morrissey
Data Protection Officer

Tel: 020 8725 0668   Email: dataprotection@sgul.ac.uk

# Appendix A
# Process for responding to a Subject Access Request (SAR)

| | |
|---|---|
| Was the request submitted in writing and has the individual provided details of the context in which we might hold information about them? | → **No** → Advise the data subject they should put their request in writing, and ask for further information about their connection with SGUL |

**Yes** ↓

| | | |
|---|---|---|
| Was the request submitted by the data subject? | → **No** → | If it has been submitted by an official representative of the data subject have they included the relevant proof of consent? | → **No** → Advise requester that we cannot process the request without consent of the data subject |

**Yes** ↓ (left)  /  **Yes** ↓ (under consent box)

**Has the individual included proof of ID with their request?** → **Yes** →

Identify and contact all the departments holding information about data subject.

Identify any possible exemptions from disclosure, e.g. where information refers to third parties

**No** ↓

**Is it possible to verify their identity without further proof, e.g. are they SGUL staff or student?** → **Yes** →

Respond to Subject Access Request within the one month deadline

Provide copies of all relevant personal data in permanent format.

If relevant include explanations of why certain data has not been disclosed.

Keep a record of the SAR and the data disclosed.

**No** ↓

Contact the individual and ask them to provide proof of ID, e.g. copy of driving licence or utility bill

NB the 40 day deadline will commence on receipt of fee (if relevant) and / or once the identity of the requester has been confirmed.

For all Data Protection queries and requests for personal information

**SGUL Data Protection Officer
Claire Morrissey**

dataprotection@sgul.ac.uk

# St George's University of London
## Privacy Notice

St George's University of London needs to keep certain personal data about its staff and students to fulfil its purpose and to meet its legal obligations to funding bodies and government.

St George's University of London should be considered the 'data controller' for the personal information it holds about its staff and students.

The University is required to comply with the principles set out in the Data Protection Act in the processing of all personal data. To this end personal information is collected and used fairly, stored safely and not disclosed to any other person unlawfully.

**How we use your personal information**

The University processes the personal data of its staff, students and other users for the following purposes:

- Administration of prospective, current and past employees including self-employed, contract personnel, temporary staff or voluntary workers
- Administration of non-university staff contracted to provide services on behalf of the university
- Planning and management of the University's business activity
- Occupational Health service
- Pensions administration
- Disciplinary matters, employment tribunals etc.
- Staff training
- Administration of education and training (e.g. registration and monitoring, calculation and publication of exam results, provision of references)
- Provision of education and training (e.g. planning and control of curricula and exams, commissioning, validating and producing educational materials, sandwich placements)
- Administration of applications (e.g. receipt and processing of UCAS forms, compilation of statistics, assessments including preliminary and confirmed offers, liaison with UCAS)
- Preparation of DfE returns
- Administration of student awards and fees
- Administration and management of university and privately owned property (including accommodation services)
- Administration of grants and loans (e.g. student loans, access loans)
- Administration and provision of health care services
- Administration and provision of library services (including membership records)
- Administration and provision of a student card
- Administration and provision of welfare and pastoral services
- Careers guidance
- Administration and provision of computing facilities

**Sharing your personal information**

St George's University of London may disclose relevant personal data of its members to third parties for the purposes of university business, as well as for certain other legitimate and statutory obligations.

Organisations to which the University routinely discloses personal data include the following:

- Suppliers of goods and services to the University
- Affiliated universities and healthcare institutions
- Higher education funding councils (HEFCE) and government bodies
- Higher Education Statistics Agency (HESA)
- Financial organisations and loan companies (regarding applications initiated by staff or students)

The University may, subject to the institution's Information Sharing Protocol, release information to the police, or other law enforcement / investigatory bodies.

The University will not disclose your personal information for any other reasons without your consent.

**Your rights**

All staff, students and other users are entitled to:

- Ask what information the Institution holds about them and why
- Ask how to gain access to it
- Be informed how to keep it up to date
- Be informed about what the Institution is doing to comply with its obligations under the Act

**Your responsibilities**

All staff and students are responsible for:

- Checking that any personal data that they provide to the Institution is accurate and up to date
- Informing the Institution of any changes to information which they have provided, e.g. changes of address
- Checking any information that the Institution may send out from time

**Queries about your personal data**

Staff and students and other users of the Institution have the right to access any personal data that is being kept about them by the University. Any person who wishes to exercise this right should make the request in writing to the Data Protection Officer.

SGUL Data Protection Officer contact details:

Claire Morrissey
Computing Services
0.133, Jenner Wing

020 8725 0668
dataprotection@sgul.ac.uk

## ANNUAL STATEMENT ON RESEARCH INTEGRITY 2018

### COMMITMENT TO INTEGRITY

Encouraging and ensuring integrity in research is central to St George's, University of London's (SGUL's) research mission, and various systems and processes are in place to uphold research integrity. . SGUL fully supports the principles documented in 'The Concordat to Support Research Integrity'.

SGUL's 2017-22 strategic plan states that SGUL believes in acting with integrity in all of our interactions, and defines our core values as openness, respect, engagement and commitment.

This document outlines the approach which embeds practices that support research integrity and ethical behavior, across the numerous functional areas of SGUL which support research integrity.  Also included in this report are details of our research misconduct and whistleblowing policies and our research integrity webpage.

### JOINT RESEARCH & ENTERPRISE SERVICES

The Joint Research and Enterprise Service (JRES) is the official research governance and management oversight function for St Georges, University of London and St George's University Hospitals NHS Foundation Trust. The JRES is responsible for ensuring that any research involving humans (including their tissue and data) is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards. It has a suite of standard operating procedures (SOPs) and guidance documents to ensure a robust research governance and ethics framework is in place, which aims to ensure that all human subject research is subjected to an appropriate level of ethical and organisational scrutiny.  These SOPs are maintained online for ease of access and are regularly reviewed to ensure processes, roles and responsibilities are updated and in line with organisational expectations. The JRES provides training sessions through various programmers throughout the university, both online and face-to-face, which support our researchers and students to conduct their research within scope of the various legislative requirements.

A wide range of education, training provision, communication and awareness raising activities are undertaken across the university. Each research theme has a Research Governance and Facilitation Officer to support researchers in developing clinical study protocols, documentation and maintaining ethical standards against national Health Research Authority (HRA) guidance and legislation. For non-clinical HRA projects and student based research the JRES Research Ethics Officer has the responsibility of ethics approval, raising awareness of and providing training on research ethics, writing annual monitoring reports for Research Ethics Committees and keeping stakeholders informed about the national and university policy on research ethics.

### GOVERNANCE, LEGAL AND ASSURANCE SERVICES

The Governance, Legal and Assurance Services Team (GLAS) supports the effective governance of SGUL as a whole. GLAS works to ensure that effective decision-making structures are in place and have oversight of a wide range of areas that contribute to the integrity of research, including risk management,

freedom of information, safety management, records management, and legal services. GLAS provides advice and training on these areas to staff across the institution.

GLAS ensures the effective operation of the following policies, which enable stakeholders to have confidence in the outputs of our research at SGUL:

- *Anti-Fraud Policy*
- *Freedom of Information Policy*
- *Records Management Policy*
- *Retention and Disposal Policy*
- *Retention Schedules*
- *Whistleblowing and Public Interest Disclosure Policy and Procedure*

GLAS is currently developing a new policy on digital preservation in order to manage risk in relation to records held in a digital format and are in the process of reviewing the Whistleblowing and Public Interest Disclosure Policy and Procedure to ensure it is fit for purpose.

As part of an ongoing review of university governance, GLAS is currently undertaking an exercise to better understand how laboratory data at SGUL is recorded, managed, stored, and retained. GLAS supports best practices to help researchers better manage and archive their laboratory data.

## LIBRARY

The library supports research at SGUL across much of the research lifecycle (see diagram below).

There is support, *training* and 1:1 guidance for searching the literature, appraisal of papers, managing references and avoiding plagiarism.

The library are fostering practices around open science to enable wider communication, collaboration, and reuse of our research.

Funder mandates, publisher policies and other initiatives around open access to research publications and responsible research data management are areas of constant evolution. The library encourages, through the Scholarly Communications Group and Research Data Management Working Group, input from colleagues in JRES, and academic and administrative representatives from our research institutes, to promote institutional understanding, and transparency in decision making processes. Our _Research Publications Policy_ and _Research Data Management Policy_ outline the expectations on researchers and the assistance available to support them.


**Research Publications**

The library makes available for our researchers a Current Research Information System (CRIS) to capture securely details of their research publications; this system is from a well-established research information software provider (Symplectic), which is committed to support and develop the system capabilities. The CRIS is linked to our institutional repository for publications, St George's Online Research Archive (SORA) which is hosted and supported by Cosector, specialists in research software platforms. Using open source software, this makes researchers publications available freely online, allowing open scrutiny and reuse of research findings.

The Research Data Management Service oversees research data management (RDM) and data sharing activities across the university. The service is tasked with advocating and embedding a culture of responsible data management and sharing across the institution. It achieves this by:

- Supporting the implementation of SGUL's Research Data Management policy.
- Establishing advocacy programmes to raise awareness of good data management and responsible data sharing.
- Implementing skills development and training programmes to equip our researchers with knowledge and practical skills in handling and sharing data according to community and professional standards, especially in our current data intensive research landscape.
- Partnering with related services, such as research computing services, information governance, data protection and records management to deliver integrated research data services that comply with legal, institutional, regulatory and funder obligations and standards.
- Providing adequate infrastructures to enable high quality, responsible data sharing; including managing our (pilot) institutional data repository and preservation system and administering our controlled data access procedures, which together ensure that SGUL research is open and transparent and preserved for the long term.
- Supporting SGUL's data quality requirements for the NHS Data Security and Protection Toolkit.
- Working closely with the wider RDM community to embed emerging good practice at SGUL and ensure that we are consistently working to the highest standards in how we handle and share data.


## BIOLOGICAL RESEARCH FACILITY

The Biological Research Facility (BRF) has an important research integrity role in maintaining the highest possible standards of animal welfare, ensuring best practice is followed and adhered to, by all academics/researchers and support staff working within the BRF. The conditions and standards for this

are governed by the UK Home Office who have a specialized unit, the Animals in Science Regulation Unit (ASRU) https://www.gov.uk/guidance/research-and-testing-using-animals

The BRF's policy is to actively promote and adopt NC3R's recommendations which is done via the systems BRF has in place, to meet the regulatory requirements of The Animals (Scientific Procedures) Act 1986 (ASPA). https://www.nc3rs.org.uk/

As part of the legal requirements of ASPA, the ethical and animal welfare aspects of scientific integrity are governed through an internal committee– the Animal Welfare & Ethical Review Body (AWERB). Before any use of animals for scientific procedures can commence, academics discuss proposals with BRF management to ensure that full consideration of resource requirements, legal compliance and appropriate funding are in place. Then full proposals are submitted for AWERB consideration/approval prior to submission for final approval by the Home Office.

Culture of Care (CoC) is actively pursued within the BRF with the aim of providing an inclusive, helpful and blame free environment that helps encourage good science and openness.

BRF has a thorough induction programme for all persons that require to undertake animal based research procedures within the BRF. This covers extensive topic areas to promote good science and integrity. Until the induction process is satisfactorily completed, people are not able to have unsupervised access. Following successful induction process, the BRF maintains intensive training and competency assessment records for each individual.

SGUL was an initial signatory to the Concordat on Openness on Animals in Research in 2014. Since then, with governance aspects managed by the BRF,  SGUL actively engages and contributes to the four commitments under the Concordat. In connection with the Concordat, the BRF maintains SGUL membership and proactively engages with Understanding Animal Research (UAR) http://www.understandinganimalresearch.org.uk/


## ETHICS COMMITTEE

Over the 2017-2018 academic year the St Georges Research Ethics Committee (SGREC) reviewed 42 research applications. The SGREC annual report 2018 covers the reporting period of the previous academic year September 2016 to August 2017. In that time the committee reviewed 26 applications. Most applications were given an ethics review by the research institutes, which is our fast-track approvals system. To ensure that robust reviewing of ethics applications occurs, ongoing training activities for committee members is arranged.

SGUL has aligned the role of Research Integrity Lead with the Chair of the Ethics Committee. In that capacity, informative training for all university employees on the Concordat to Support Research Integrity has been facilitated with sessions on the university's quarterly welcome seminars for new staff. Further, less experienced academic staff and postgraduate students receive integrity training annually.


## GRADUATE SCHOOL

Workshops on research integrity are included within the Graduate School skills programme, which is compulsory for research degree students and our Common Postgraduate Framework of modules. These are attended by students from multiple taught postgraduate courses in addition to research degree students. As well as research integrity, these modules include lectures and tutorials on statistics, research methods and public engagement and are also open to clinical academic trainees. The research degree

student handbook includes a section on research integrity, which outlines SGUL's commitment to the 'Concordat to Support Research Integrity'.

## RESEARCH MISCONDUCT

Our Research Misconduct Policy and Procedure identifies a senior member of staff in both SGUL and in the St George's University Hospitals NHS Foundation Trust (with which we share the same campus). Within the university, the key member of staff who oversees research integrity and is the first point of contact is the Deputy Principal for Research and Enterprise and within the trust it is the Medical Director.

The procedure describes the principles by which allegations of research misconduct are processed and judged, thereby ensuring that investigations are carried out in a transparent and fair manner.

**Misconduct cases within reporting period**

| Misconduct Type | Referred for full investigation (Y/N) | Reported to Council (Y/N) |
|---|---|---|
| **Data handling** | N | N |

In 2018, there was one allegation of research misconduct that went through the internal informal process. It was brought by a member of staff who suggested that a researcher had acted unprofessionally in handling clinical data. The case was carefully investigated by the Deputy Principal for Research, then Professor Mark Fisher. The allegation of research misconduct was not upheld (report completed in August 2018).

The point of contact in the University for Whistleblowers is Professor Deborah Bowman, Deputy Principal for Institutional Affairs. Our Whistleblowing and Public Interest Disclosure Policy and Procedure is available on the St Georges University website.

In terms of external engagement, St George's has continued its subscription to the UK Research Integrity Office, a charity offering advice and guidance to universities, students and staff on matters of research integrity.

## RESEARCH INTEGRITY WEBPAGE

During the 2018 period the university has undertaken a project to redevelop its website. The university will create a webpage covering research integrity and bringing together all of the information on the current website relating to research integrity (for example the Research Misconduct Procedure and research integrity annual statements).. This is in alignment with both government and research funders' attitudes towards strengthening research integrity. This page is currently under construction so will be reported on in future statements.

### RELEVANT POLICIES

- *Anti-Fraud Policy*
- *Freedom of Information Policy*
- *Records Management Policy*
- *Retention and Disposal Policy*

- *Whistleblowing and Public Interest Disclosure Policy and Procedure*
- *Research Publications Policy*
- *Research Data Management Policy*
- *Research Misconduct Policy and Procedure*
- *Anti-Corruption Policy*
- *Anti-Corruption Statement*
- *Conflicts of Interest and Financial Dealings Policy*
- *Gifts and Hospitality Policy*
- *Donations and Gift Acceptance Policy*
- *Anti-Fraud Policy*
- *Data Protection Policy*
- *Intellectual Property Policy*
- *Use of Animals in Research Policy*

**Named Contact for Misconduct**: Professor Jon S Friedland, Deputy Principal (Research & Enterprise)

**Named Contact for Whistleblowing**: Professor Deborah Bowman, Deputy Principal (Institutional Affairs)

## Appendix 19: Preparing for the General Data Protection Regulation – email

Email from the Chief Operating Officer, sent October 2017.

Dear colleagues,

The General Data Protection Regulation (GDPR) will be enforced by the UK government from 25 May 2018 and will impact the way that organisations work with personal data. It will replace the UK Data Protection Act 1998 and St George's must comply with the new legislation.

St George's has a duty of care towards those individuals who entrust it with their personal data. The university has set up a GDPR Executive Board, chaired by myself, and a working group to make sure it meets the new regulatory requirements.

Some of the changes identified that will affect staff are:

- Individuals will have improved rights and will no longer be charged a fee when requesting their personal data. The information must be provided within one calendar month

- Processing personal data will require legal justification or consent from the individual

- When starting a new project involving the use of personal data that poses a high risk to individual's rights and freedoms, organisations must conduct a Privacy Impact Assessment. Any project that fails a Privacy Impact Assessment will require further advice from St George's Data Protection Officer, or a referral to the Information Commissioner's Office (ICO).

The university will:

- Map and risk assess all collections of personal data to ensure an appropriate level of information security

- Ensure the information security of new systems includes data protection measures

- Prepare and inform staff of any changes the GDPR may bring, including providing training for staff involved in mapping the university's data collection.

Information security incidents must be reported to management without delay. The GDPR will include harsher penalties for non-compliance, for example, up to £10m for an information security breach.

Please contact the Audit mailbox with any questions.

Best wishes,

Paul Ratcliffe,

Chief Operating Officer,

Senior Information Risk Owner

## Appendix 20: [Draft] Staff circumstances definition, REF 2021 Guidance on Submissions

149. The UK funding bodies are committed to supporting and promoting equality and diversity in research careers. As part of this commitment, the measures set out in the section have been put in place to recognise the effect that individuals' circumstances may have on research productivity.

150. Part 3, Section 2 of this document sets out the requirements for the submitted output pool. The total number of outputs returned from each submitting unit must be equal to 2.5 times the combined FTE of Category A submitted staff included in the submission. A minimum of one output will be required for each Category A submitted staff member. There will be no minimum requirement for submitting the outputs of former staff. No more than five outputs may be attributed to any individual staff member (including former staff).

151. The decoupling of staff and outputs in REF 2021, as summarised in paragraph 150, is intended to provide increased flexibility to institutions in building the portfolio of outputs for submission. There are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members would be returned with the same number of outputs attributed to them in the submission. As set out in REF 2018/03, to aid institutions in promoting equality, complying with legislation and avoiding discrimination, institutions must document in a code of practice and apply fair and transparent processes for the selection of outputs. The code must demonstrate how they have taken into account equality and diversity considerations, and any equality-related circumstances affecting staff ability to research productively during the period.

152. In view of the flexibility described above, and the reduction in output requirement since the previous exercise – from four outputs per person in REF 2014 to an average of 2.5 per FTE in REF 2021 – institutions may wish to manage any effect from staff circumstances on overall productivity within the unit's submission, without seeking reductions. Where this is the case, institutions must include information in their code of practice about how the effect of individual circumstances will be taken into account in the output selection process.

153. As a key measure to support equality and diversity in research careers, in all UOAs a submitting unit may optionally request a reduction without penalty in the total number of outputs required for submission. The reductions applied should be in accordance with the guidance set out below, where the individual circumstances of Category A submitted staff have constrained ability to produce outputs or to work productively throughout the assessment period.

154. The funding bodies have introduced these measures to give recognition to the effect that individual circumstances may have on a researcher's ability to contribute to the unit's overall output pool (from which submitted outputs will be selected). Therefore, it is expected that any applied reduction is reflected in the institution's expectations of the affected researcher's contribution to the output pool. Where applying reductions, institutions **must** set out in their code of practice how they will ensure this is achieved in the output selection process.

155. The funding bodies have made every effort to try to eliminate any incentives towards discriminatory practices by HEIs in the process; to the extent that there are any such inadvertent incentives, it is the HEIs' responsibility as employers and public bodies to ensure that they avoid engaging in discriminatory practices.

156. In order to provide clarity and consistency on the number of outputs that may be reduced without penalty, there will be a defined reduction in outputs for staff circumstances (as listed at paragraph 161), and the application of reductions (including those that will require a judgement) will be considered on a consistent basis in advance of the census date.

157. Given the reduced output requirement for 2021, the tariffs for the defined reductions (see paragraphs 166 to 172) differ from those set in the previous exercise. This is to ensure that a comparable reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

158. In all UOAs, an individual may be returned without the required minimum of one output without penalty in the assessment, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the period, so that the staff member has not been able to produce the required minimum of one output. This measure is intended to minimise any potential negative impact on the careers of particular groups of researchers who have not been able to produce an output in the period due to their individual circumstances.

159. Other than where a request is made to remove the minimum of one requirement, HEIs must ensure that reductions to the unit's output requirement do not reduce the pool beyond the required minimum of one per Category A submitted staff member.

160. Where a unit has not submitted a reduction request and is returned with fewer than 2.5 outputs per FTE, and/or has not attributed a minimum of one output to each Category A submitted staff member, any 'missing' outputs will be graded as 'unclassified'.


## Appendix 21: Key Performance Indicators – research

[Document will be inserted when final document agreed, March 2019]