

**St George's, University of London /**  
Code of Practice for the  
Research Excellence Framework 2021

**St George’s, University of London**  
**Code of Practice REF 2021**

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## **Part 1: Introduction to St George's Code of Practice for REF 2021**

**St. George's, University of London is the only UK university solely focused around delivering research excellence and education in healthcare including medicine.**

1. St George's, University of London is submitting 100% of Category A eligible staff for REF 2021. St George's Code of Practice ensures transparency and agreement with our staff regarding the criteria and process used for identifying staff with significant responsibility for research, independence and the selection of outputs.
2. 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 responsibility 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. St George's mission is to pursue excellence in academic medicine, healthcare and science, informed by a global outlook. We create and share knowledge. We inspire and develop people who contribute to and improve society.
3. Our three Research Institutes focus on biomedical and scientific discovery, advancing the prevention and treatment of disease in the fields of population health, heart disease and infection – three of the greatest challenges to global health in the 21<sup>st</sup> century.
4. In order to successfully tackle some of the most important healthcare issues, we aim to:
  - i. Increase societal impact by improving diagnosis and treatment and preventing disease;
  - ii. Respond to new and emerging healthcare challenges through targeted intervention;
  - iii. Develop our understanding of health through effective collaboration.

### **St George's broader institutional policies and strategies**

5. St George's will contribute to research excellence by:
  - i. Pursuing 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.<sup>4</sup>
6. The development of St George’s Strategic Plan, 2017 – 2022, involved wide consultation and, as a community, we defined our institutional values as commitment, openness, respect and engagement. These values guide behaviours and are expected of everyone since they are intrinsic to advancing equality (Appendix 1: extract of Executive Summary, Strategic Plan, 2017 – 2022).
7. 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 mechanism allowing academic staff to apply for joint membership of more than one Institute (see Part 2: Joint Membership between Institutes).
8. Research is overseen by the Deputy Principal (Research & Enterprise), supported by the Principal, Director of the Joint Research & Enterprise Services (JRES) and Director of Human Resources and Organisational Development.

## How the code relates to Equality and Diversity

9. St George’s core values:

<b>St George’s core values</b>	
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<sup>4</sup> <https://sgul.ac.uk/about-us/strategy-2017-2022/research>

Commitment	Working effectively and with dedication to perform to the highest standards. Being responsible and accountable for our choices and decisions.
Openness	Listening, treating each other fairly and honestly. Learning from experience and reflecting on our choices and decisions.
Respect	Shaping an inclusive environment in which diversity is valued. Communicating openly and transparently.
Engagement	Participating in life at St George's and, through education and research, empowering our people to contribute to, influence and improve society and communities. Influencing effectively across the sectors in which we operate.

10. 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 (Appendix 2: Summary of 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.
11. St George's policy on the use of fixed term contracts provides a framework for contract provision for staff in line with the Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002. It recognises that fixed term contract research staff at St George's form a distinct group because of their large numbers and the high proportion of postdoctoral researchers employed on fixed term contracts. SGUL's policies and procedures on performance management, personal reviews and a range of courses for research staff support this group of staff (see Appendix 3: Policy on the Use of Fixed-Term Contracts).<sup>2</sup> Annual review of fixed term contract usage and opportunities for permanency including analysis of equality, diversity and inclusion characteristics, which is completed by the Athena Swan Self-Assessment team and reported to Resourcing Review Committee and Research Committee (Appendix 4: Concordat to Support the Career Development of Researchers).
12. SGUL is 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.

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<sup>2</sup> SGUL's Policy on the Use of Fixed-Term Contracts will be reviewed by HR in academic year 2019/20 as part of a comprehensive review of all employment policies including fixed-term contracts for research assistants.

## Equality impact assessment

13. St George's has begun equality impact assessments on the policies and processes in the Code of Practice to be used during the submission preparations for REF 2021. This assessment and future assessments will determine whether the Institution's selection policy for REF may have a differential impact on protected groups.
14. St George's Diversity and Inclusion Steering Group leads on the equality impact assessments (Appendix 5: Diversity and Inclusion Steering Group Membership and Terms of Reference 2018/19). The assessments highlight any areas of imbalance to be identified and addressed at significant points in the preparation of the REF submission. The Diversity and Inclusion Steering Group reports to Executive Board (Appendix 6: St George's Senior Committee Structure).
15. The Equality Impact Assessment is conducted by the Associate Dean for Culture, Development and Inclusion, the Diversity and Inclusion Adviser, the HR Systems and Information Officer, HR and members of the Equality and Inclusion Steering Group where required. It is reported to the REF Steering Executive and Research Committee (Appendix 7: St George's Equality Analysis Guidance and Form).
16. 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 research staff population).
  - ii. Data split by job role (Lecturers, Senior Lecturers, Readers, and Professors, and independent Research Fellows).<sup>3</sup> Staff who are not identified as having significant responsibility for research for the REF may also be included in the equality analysis for comparison (e.g. Teaching Fellows, Research Assistants).<sup>4</sup>
  - 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 the environment statement.

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<sup>3</sup> See Glossary for definition of independent Research Fellow

<sup>4</sup> See Glossary for definition of Research Assistant



17. Analysis will focus on gender, ethnicity, disability, age, maternity leave and other leave (although other characteristics may not be suitable because of lower disclosure rates).
18. St George's equality analysis was conducted for the internal mock REF in early 2019, and will be conducted for the external mock REF in late 2019, and again when preparing the final submission from August 2020 to March 2021 before the final REF submission on 31<sup>st</sup> March 2021.
19. Analysis will be carried out when SGUL is identifying staff with significant responsibility for research; when determining research independence; when selecting outputs for submission; when selecting impact case studies for submission; and when preparing the final submission.
20. An Equality Analysis was carried out on SGUL's draft Code of Practice in February 2019. It reviewed policies and processes for identifying staff with significant responsibility for research, and for determining research independence (Appendix 8: St George's Equality Analysis completed).

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

21. 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 (Appendix 9: REF Steering Executive Membership and Terms of Reference).
22. The Institution has taken steps to ensure that the Code of Practice has been widely considered and disseminated. The Code of Practice has been discussed and approved by the REF Steering Executive (March 2019), Research Committee (April/May 2019), Executive Board (May 2019) and Diversity and Inclusion Steering Group (January to June 2019), with final consideration and approval by the Senate (June 2019).
23. A consultation process involving all staff groups 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). Responses to the draft Code were received through an anonymised survey on our internal website open to all staff. Responses were received from representatives of staff groups (Lecturers and postdoctoral researchers), each of the four Institute management meetings, Library Management Team, and Joint Negotiating and Consultative Committee meetings in March and April 2019. Responses by email or minutes were received by the Academic Lead for REF or the Research Strategy and Development Manager, discussed at REF Steering Executive meetings, and publicised on our portal (intranet) site.
24. The Code has been developed in accordance with the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 and relevant employment legislation, Part-time Workers

(Prevention of Less Favourable Treatment) Regulations 2000, and Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002, as advised by the Director of Human Resources and Organisational Development, who is a member of the REF Steering Executive.

## **Update on relevant actions taken since REF 2014**

### **Overall responsibility at St George's for REF 2021 submission**

25. The Principal has overall responsibility for the REF process. This responsibility is delivered through the Academic Lead for REF 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, Joint Research and Enterprise Services, and announced to all staff in the George's Weekly e-newsletter on 29<sup>th</sup> March 2018. The main administrative support for this role is from Research Strategy and Development Manager and colleagues in the Joint Research and Enterprise Services.
26. On 16<sup>th</sup> May 2018, the Academic Lead for REF 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 e-newsletter.
27. 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 represent clinical academics, researchers, and equality, diversity and inclusion at St George's. The group meets every two months. The REF Steering Executive was formed to plan and develop the Institution's REF 2021 submission and to guide the process. The REF Steering Executive is responsible for all decisions made regarding selection and submission to REF (Appendix 9: REF Steering Executive Membership and Terms of Reference). Reports, recommendations, policies and procedures developed by the REF Steering Executive are referred to decision-making bodies for approval: Research Committee, Executive Board, and Senate; the Principal is a member of these committees.
28. The Research Committee is chaired by the Deputy Principal (Research & Enterprise), who is also a decision-making member of the REF Steering Executive (Appendix 10: Research Committee Membership and Terms of Reference). The committee meets on a monthly basis.<sup>5</sup> The Academic Lead for REF is a member of Research Committee.

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<sup>5</sup> The position of Deputy Principal (Research & Enterprise) replaced the position of Dean of Research & Enterprise from September 2018, during which time the Research Strategy Committee met every six weeks. Since January 2019, Research Committee meets on a monthly basis and the membership has been expanded.

29. The Research Committee reports into Senate and Executive Board (Appendix 6: St George's Senior Committee Structure). Senate and Executive Board report to Council. The Academic Lead has been a member of Senate since autumn 2018.
30. St George's appointed an Associate Dean for Culture, Development and Inclusion in the academic year 2018-19. This role oversees career development for academic staff (to commence in 2019). It is expected that the Associate Dean will develop and implement coordinated support for research-focussed, education-focussed, and research- and education-focussed staff, including career coaching, expanded line manager training, and writing support for fellowship applications.

### **Update of St George's policies and strategies since REF 2014 that support Equality and Diversity**

31. St George's holds an Athena SWAN silver award, awarded in May 2018 and SGUL will hold this award until 2021.<sup>6</sup> 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.<sup>7</sup> One of the four main priorities of work to embed Athena SWAN principles is on the theme of the career life cycle and development, in addition to education and students; engagement and communication; and leadership, culture and values. SGUL's Athena Swan Action Plan is overseen by the Athena Swan Self-Assessment Team.
32. SGUL was awarded the HR Excellence in Research (HRERA) Award in 2013 and undertook an interim self-evaluation in 2015. SGUL has been successful in retaining our award at the four-year review stage (the six-year review is due in May 2020). HR Excellence in Research, a UK-wide process, incorporating the QAA Code of Practice for Research Degree Programmes and The Concordat to Support the Career Development of Researchers, enables institutions to gain the European Commission's HR Excellence in Research badge, acknowledging alignment with the principles of the European Charter for Researchers and Code of Conduct for their Recruitment. Since that time, SGUL has continued to actively support the Concordat principles through its people practices. The award forms part of a wider organisational commitment to investing in our people and fostering a culture where everyone can thrive.
33. SGUL aims to provide our research staff at all stages of their careers with development opportunities, skills and knowledge to succeed in their professional roles; alongside career

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<sup>6</sup> <https://www.sgul.ac.uk/about-us/join-us/athena-swan>

<sup>7</sup> <https://www.ecu.ac.uk/equality-charters/athena-swan/about-athena-swan/>

development, advice and guidance to encourage them to transition to future roles within SGUL, to other HEIs or related employment. In delivering SGUL's HRERA four-year action plan from 2018, SGUL demonstrates its commitment to support, develop and enable researchers to progress professionally (Appendix 4: Concordat to Support the Career Development of Researchers (extract)). The HR Excellence in Research logo signals to researchers that an institution is committed to supporting their careers and can give them confidence about moving to a new institution.<sup>8</sup>

34. 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 a variety of pathways and opportunities for clinicians interested in conducting research and pursuing an academic career, including educational and training support.<sup>9</sup>
35. SGUL is committed to the Disability Confident scheme, which helps employers recruit and retain great people; draw from the widest possible pool of talent, secure high-quality staff who are skilled, loyal and hardworking; and improve employee morale and commitment by demonstrating that all employees are treated fairly. St George's is a Disability Confident Employer, which represents level two of the Disability Confident scheme. It means that we are committed to inclusive and accessible recruitment, communicating vacancies, offering an interview to disabled people, providing reasonable adjustments and supporting existing employees, and St George's is recognised as going the extra mile to make sure disabled people get a fair chance. In particular, St George's hosts trainees from the St George's University Hospitals NHS Foundation Trust's Project SEARCH programme. The SEARCH scheme offers young people with learning difficulties the opportunity to gain valuable work experience in real work situations through work placements, for example in our student union shop. St George's also has an active disability staff network.
36. St George's is a Stonewall Diversity Champion and is committed to championing LGBT issues. Our LGBT network is active in setting up a wide range of events, as well as collaborations with students, for example there is a programme of events arranged for LGBT history month. Stonewall has assisted St George's in its efforts, for example running a workshop with the LGBT network and senior managers around inclusive practice and behaviours. We have also featured LGBT role models in our seminar series and podcasts championing work related issues in the 'Thrive' campaign.<sup>10</sup>

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<sup>8</sup> Further information about HRERA is available at: <https://www.vitae.ac.uk/policy/hr-excellence-in-research/benefits-of-the-hr-excellence-in-research-award>

<sup>9</sup> Further information is available on SGUL's website at: <https://www.sgul.ac.uk/research/academic-training>

<sup>10</sup> Podcast are available on SGUL's website at: <https://sgul.ac.uk/thrive>

37. Equality, diversity and inclusion forms a core part of St George's strategy. Improving opportunities for and representation of black and minority ethnic (BME) staff forms the basis of a number of St George's development initiatives. For example, St George's participates in the cross-institutional mentoring scheme, B-MEntor. This scheme involves BME staff from a number of London universities (University College London, London School of Economics, School of Oriental and African Studies, Queen Mary University of London, University of East London, University of the Arts London, City University of London, King's College London, and St George's) being mentored by a senior manager from a different university. We are aiming to create an ethnicity related staff network. In our last staff pulse survey (June 2018) the highest scoring positive response was to the question "I think my organisation respects individual differences (e.g. cultures, working styles, background, perspectives)". Twenty-six percent of St George's staff declare themselves as being of black, Asian and minority ethnic heritage.

### **How the Code of Practice was developed, communicated and agreed with staff**

38. The main channels of communication at SGUL are:

- E-newsletter: George's Weekly e-newsletter is circulated to all staff by email and available online on SGUL's intranet (portal). 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 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, paternity leave, adoption leave, long-term sick leave, or sabbatical). The Code of Practice was announced to all staff with details of where to find drafts of the Code of Practice on the internal website, of a staff event to discuss it, and how to feedback on the draft version of the Code (Appendix 11: George's Weekly e-newsletter article "We want your say").
- Website: SGUL's intranet has a subsection dedicated to the REF located under the JRES section of the website. All staff with an active account including those staff on leave (e.g. staff on maternity leave, paternity leave, adoption leave, long-term sick leave, or sabbatical) have access to SGUL's intranet (portal). 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 submission, and the Code of Practice. During the consultation on the Code of Practice, SGUL's intranet hyperlinked to the online survey. The approved Code of Practice will be published on SGUL's intranet and external website.

- Staff emails: The staff email distribution list was produced from records held on the HR / HESA system with verification by the Institute Directors. All staff (Category A eligible and non-eligible academic staff, postdoctoral researchers and research assistants) are included, along with staff who are absent from work (e.g. staff on maternity leave, paternity leave, adoption leave, long-term sick leave, sabbatical, fellowship). Staff emails are sent to individual SGUL email addresses from the Academic Lead for REF with guidance from Internal Communications to ensure clear messaging. Individual emails were sent to staff during consultation of St George's Code of Practice to summarise the Code of Practice requirements, SGUL's proposed strategy, link to the draft Code of Practice, invite staff to events, provide guidance on how to provide feedback during the consultation, and discussion of REF Steering Executive committee changes made in response to feedback from staff. (Appendix 12: Staff email from REF Academic Lead – REF updates 1 and 3). The approved Code of Practice will be emailed to the staff distribution list to individual SGUL email addresses from the Academic Lead for REF.
- Staff consultation: An internal staff consultation exercise took place for one month from 29<sup>th</sup> January 2019 to 28<sup>th</sup> February 2019. All academic and professional services staff were invited to respond to the draft Code of Practice by:
  - i. Completing an online survey (Appendix 13: Code of Practice Staff Consultation Survey). Each section asked individual respondents to rank the clarity of the section and rate their agreement with the policy and process with space for comments. The survey could be completed anonymously.
  - ii. Attending a staff event on 14<sup>th</sup> February 2019. At the event, the Academic Lead for REF presented an overview SGUL's Code of Practice and fielded questions from attendees. Senior staff involved in the development of the Code were present (Principal, Institute Directors, and the Associate Dean for Culture, Development and Inclusion). The event was attended by over thirty staff from across all four Institutes, and the slides used were made available on the staff intranet. An additional presentation using the same slides was given at the IMBE staff meeting on 26<sup>th</sup> March 2019 and opened for discussion at the meeting and at the social event afterwards.
  - iii. Discussing the draft Code with staff groups. Members of the Research Committee were required to cascade and discuss the Code with their staff representative groups separately to the Research Committee. These representative groups included each of the Research Institutes and IMBE steering committees (each with representatives of all staff groups within the Institute, and totalling all academic and research staff), the Lecturer forum, the Postdoctoral researcher forum, the PhD student forum and the

Athena Swan Self-Assessment team. In addition, managers of Professional services cascaded information to their own teams. Representatives were required to indicate how they had performed this, to feedback any concerns or amendments, and to minute approval of the Code of Practice. Members of the Research Committee were provided with the opportunity to feedback at Research Committee meetings in February, March, April and May 2019.

- iv. Consulting with the three recognised trade unions at SGUL (UCU, Unite and BMA) from December 2018. Trade union representatives are members of the Joint Negotiating and Consultative Committee (JNCC) at SGUL. The draft Code of Practice was presented to the JNCC in January 2019. The trade union representatives took the draft Code of Practice to its members for comment. Comments were received by the Academic Lead for REF from the trade union staff representatives and individually.

39. Following the staff and trade union consultation, responses to the draft Code of Practice were analysed and summarised by the Academic Lead for REF and discussed at the REF Steering Executive (March 2019). A summary of responses including how concerns and feedback have been addressed in the final Code of Practice was communicated by the Academic Lead for REF to the staff email list (see paragraph 38 staff emails above) in an email (Appendix 12: Staff email from REF Academic Lead – updates 1, 3), and detailed responses to comments were available on the internal website page.

40. Staff agreement with St George's Code of Practice for REF 2021 (April 2019 version) was received from staff representatives (paragraph 38.iii) at Research Committee. Agreement was received from the trade unions British Medical Association (BMA), University and College Union (UCU), and Unite at the Joint Negotiating and Consultative Committee and minuted on 16<sup>th</sup> April 2019.

41. Following feedback from the REF 2021 EDAP panel, amendments were discussed and agreed at REF Steering Executive committee on 5<sup>th</sup> September 2019. The amended Code of Practice was immediately circulated to staff representative groups (paragraph 38.iii) and trade unions (paragraph 38.iv) and identified staff on Leave (paragraph 42) for feedback and agreement. This was minuted at Research Committee on 9<sup>th</sup> September 2019. Staff agreement with the amended St George's Code of Practice for REF 2021 was received in writing from staff representative groups by 16<sup>th</sup> September 2019 and a letter confirming this is attached to our resubmitted Code of Practice (Appendix 19: Letter of staff agreement with the Code of Practice).

42. Staff on leave: Institute Directors and line managers are responsible for identifying staff on leave (maternity, paternity, adoption, illness, sabbatical, fellowship, etc) and arranging communication and 'Keep in touch' days. HR assist in this process. We searched for staff on

leave across the consultation process period that were Category A eligible staff or staff eligible for appeal, but did not identify any staff.

### 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 December 2018	Associate Dean for Culture, Development and Inclusion	JRES	Diversity and Inclusion Steering Group members
Context of Code of Practice introduced at JNCC with trade unions representatives present	12 December 2018	HR	Academic Lead for REF, JRES	Trade unions: UCU, Unite, BMA *
Draft Code of Practice presented to REF Steering Executive	17 January 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 January 2019	HR	Academic Lead for REF, JRES	Trade unions: UCU, Unite, BMA *
Draft Code of Practice published on SGUL portal	29 January 2019 – 28 February 2019	JRES	Internal Communications	All Staff **
Staff consultation survey live on SGUL portal using Lime Survey	29 January 2019 – 28 February 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 January 2019	Internal communications	Academic Lead for REF, JRES	All Staff **
Staff consultation live – email sent to academic staff in targeted email	29 January 2019 – 28 February 2019	Academic Lead for REF	JRES	Academic Staff ***
Draft Code of Practice presented to Research Committee	11 February 2019	Academic Lead for REF	JRES	Research Committee members
Staff consultation event – reminder emails sent to staff on email list	w/c 04 February 2019 and 11 February 2019	Academic Lead for REF	JRES, Research Institute Managers	Academic Staff ***



Staff consultation event to introduce and discuss draft Code of Practice	14 February 2019	Academic Lead for REF	Principal, Deputy Principal (Research & Enterprise), Research Institute Directors	All Staff **
Draft Code of Practice presented to Senate	26 February 2019	Academic Lead for REF	JRES	Senate members
Staff consultation responses collated and analysed	01 March 2019 - 04 March 2019	Academic Lead for REF JRES	REF Steering Executive	
Staff consultation presentation slides published on website/portal	w/c 11 March 2019	JRES		All Staff **
Staff consultation responses discussed at REF Steering Executive	14 March 2019	Academic Lead for REF	JRES	REF Steering Executive
Final Code of Practice approved at REF Steering Executive	14 March 2019	Academic Lead for REF	JRES	REF Steering Executive members
Final Code of Practice presented at Research Committee	08 April 2019	Academic Lead for REF	JRES	Research Committee members
Final Code of Practice presented at Executive Board	01 May 2019	Academic Lead for REF	JRES	Executive Board members
Final Code of Practice presented at Senate	04 June 2019	Academic Lead for REF	JRES	Senate members
Code of Practice submitted to REF	By 07 June 2019	Academic Lead for REF	JRES	REF 2021
Code of Practice approved by REF circulated to REF Steering Executive	By December 2019	Academic Lead for REF	JRES	REF Steering Executive
Code of Practice approved by REF published for staff reference on SGUL website/intranet	By December 2019	Academic Lead for REF	JRES	All Staff **
Code of Practice approved by REF published by REF	By December 2019	REF		SGUL
Code of Practice approved by REF emailed to staff with link to location on	By December 2019	Academic Lead for REF		All staff

SGUL website/intranet				
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\* The three recognised trade unions at SGUL are UCU (University and College Union), Unite, BMA (British Medical Association)

\*\* Staff – all 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 have been published on SGUL’s web portal for staff to access.

\*\*\* For definition of academic staff, see Glossary

## Collection of personal data by St George’s

43. 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 (Appendix 14: St George’s Privacy Notice).<sup>11</sup>
44. Data protection is overseen by the Chief Operating Officer at St George’s, who 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.
45. St George’s Data Protection Policy is authored by Information Services. (Appendix 15: 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.
46. The principles of keeping personal data shall:
- i. Be processed lawfully, fairly and in a transparent manner;
  - ii. Be collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes;
  - iii. Be adequate, relevant and limited to what is necessary in relation to the purposes;
  - iv. Be accurate and, where necessary, kept up to date;
  - v. Be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes;
  - vi. Be processed in a manner that ensures appropriate protection against unauthorised or unlawful processing, accidental loss, destruction or damage.

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<sup>11</sup> 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. SGUL’s privacy notices are available at <https://www.sgul.ac.uk/privacy>

47. Data requested, processed, and 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

48. 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.<sup>12</sup>

49. REF has provided a Model REF Data Collection Statement for HEIs that can assist HEIs in informing staff on the collection, processing and retention of personal data submitted to REF.<sup>13</sup>

50. 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.

51. 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.

### Roles and responsibilities

Staff or committee	Advisory or decision-making	Responsibility	Institutional reporting structure	Training
<b>Identifying staff with significant responsibility for research</b>				
REF Steering Executive	Decision-making	Expectation of REF Steering Executive to take responsibility for delivering the REF 2021 process in line with the SGUL Code of Practice (Appendix 9).	Reports to Research Committee and Executive Board (Appendix 10). Reports information to Senate (Appendix 6).	Mandatory requirement for members of REF Steering Executive to complete training modules: Diversity in the workplace, and Unconscious bias training. Deadline for compliance 31/03/19.  Bespoke training on EDI and REF devised by

<sup>12</sup> Summary of information from REF Guidance on Submissions 2019/01: Data protection (paragraphs 98 – 100).

<sup>13</sup> Model REF Data Collection Statements for HEIs available at <https://www.ref.ac.uk/guidance/data-management-guidance/model-ref-data-collection-statements-for-heis/>

				Associate Dean for Culture, Development and Inclusion. Training delivered by 31/07/19.  Provided with a copy of Code of Practice. All decisions to be carried out in accordance with the Code.
Academic Lead for REF	Decision-making	Responsibility to manage the REF 2021 submission as the expectation of the job role.	Chair of REF Steering Executive and member of Research Committee.	(See above, REF Steering Executive – Training)
Deputy Principal (Research & Enterprise)	Decision-making	Expectation of job role.	Chair of Research Committee; Deputy Chair of REF Steering Executive.	(See above, REF Steering Executive – Training)
Institute Directors	Decision-making	Verify data from HR systems reports and HESA return.	Member of REF Steering Executive and Research Committee.	(See above, REF Steering Executive – Training)
Research Strategy and Development Manager (RSDM), JRES	Advisory	Operational and administrative support for the Academic Lead for REF and for REF Steering Executive as an expectation of the job role.	Member of REF Steering Executive.	(See above, REF Steering Executive – Training)
Director of Human Resources and Organisational Development (HR & OD), HR	Decision-making	Expectation of job role.	Member of Research Committee and REF Steering Executive.	(See above, REF Steering Executive – Training)
HR Systems and Information Officer, HR	Advisory	Expectation of job role.	Reports to Director HR & OD	Parameters of reporting requirements defined in the Code of Practice. Overall responsibility of Director HR & OD. Reporting required in early 2019, autumn 2019, spring/summer 2020, summer 2020 and autumn 2020. Additional reporting may be requested by the Academic Lead for REF.
Director of Planning	Advisory	Chair of the Data Returns Scrutiny Group, which provides assurance on the effective management	Reports to Audit Committee.	Provided with a copy of Code of Practice.

		and quality of HESA data submitted by others, to HESA.		
<b>Determining research independence</b>				
Research Committee	Decision-making	Expectation of the Research Committee to support the work of the REF lead and the REF Steering Executive in the current REF cycle and the equivalent in future returns (Appendix 10). Oversees procedure for determining research independence.	Reports to Senate and Executive Board (Appendix 10). Senate and Executive Board report to Council (Appendix 6).	Provided with a copy of Code of Practice. All decisions to be carried out in accordance with the Code. All members required to complete EDI training.
REF Steering Executive	Decision-making	Expectation of REF Steering Executive to take responsibility for delivering the REF 2021 process in line with the SGUL Code of Practice (Appendix 9).	Reports to Research Committee and Executive Board (Appendix 10). Reports information to Senate (Appendix 6).	(See above, REF Steering Executive – Training)
Director of HR & OD, HR	Decision-making		Member of Research Committee and REF Steering Executive.	(See above, REF Steering Executive – Training)
HR Systems and Information Officer, HR	Advisory		Reports to Director HR & OD.	Parameters of reporting requirements are defined in the Code of Practice. Support from Director HR & OD who has overall responsibility. Provided with a copy of Code of Practice.
Head of Research Funding, JRES	Decision-making	Expectation of job role to report to REF Steering Executive. Produce list of independent Research Fellowships to report to REF Steering Executive.	Member of Research Committee and REF Steering Executive.	(See above, REF Steering Executive – Training)
<b>Selecting outputs</b>				
Research Committee	Decision-making	Expectation of the Research Committee to support the work of the Academic Lead for REF and the REF Steering Executive in the current REF cycle and the equivalent in	Reports to Senate and Executive Board (Appendix 10). Senate and Executive Board report to Council (Appendix 6).	Provided with a copy of Code of Practice. All decisions to be carried out in accordance with the Code.

		future returns (Appendix 10).		
REF Steering Executive	Decision-making	Expectation of the REF Steering Executive (Appendix 9).	Reports to Research Committee and Executive Board (Appendix 10). Reports information to Senate (Appendix 6).	(See above, REF Steering Executive – Training)
Library	Advisory	Ensure Open Access compliance with the REF guidance and open access compliance for deposits in CRIS.	Reports to SCWG. Academic Lead for REF, Head of Research Funding and RSDM members of SCWG. SCWG reports to Research Committee. Associate Director of Information Services, Library is member of Research Committee.	Provided with a copy of Code of Practice.
Staff identified as having significant responsibility for research	Advisory	Identify top 6 outputs using CRIS. Staff with HR record have access to CRIS.		Training materials will be provided by the Academic Lead for REF by email and online resources, with additional support available where requested from academic members of REF Steering Executive and Library, summer 2019 and 2020.
Research Strategy and Development Manager, JRES	Advisory	Produce reports from CRIS. Collate individual scoring by internal review panel members and external review panel members. Report to the REF Steering Executive.	Reports to REF Steering Executive.	(See above, REF Steering Executive – Training)
Apprentice, JRES	Advisory	Expectation of the job role to deliver tasks designated by RSDM for SGUL's REF 2021 submission.	Reports to RSDM, who has overall responsibility.	Provided with a copy of Code of Practice.
Internal review panel	Advisory	Expectation of job role. Read and score papers.	Report to REF Steering Executive.	(See above, REF Steering Executive – Training)

		Members selected from SGUL staff based on experience.		
External review panel	Advisory	Expectation of job role. Selected by REF Steering Executive.	Report to REF Steering Executive.	(See above, REF Steering Executive – Training)
Associate Dean for Culture, Development and Inclusion	Advisory	Assess equality, diversity and inclusion of internal review panel members. Reports assessment to REF Steering Executive.	Reports to REF Steering Executive.	(See above, REF Steering Executive – Training)
Learning and Development Manager, HR	Advisory	Expectation of job role to monitor training compliance.		Reports to Associate Dean for Culture, Development and Inclusion, on training compliance annually, when requested by the Academic Lead for REF, and for the appointment of internal and external review panel members.

## Training in the application of the Code of Practice

52. 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 decisions are made (Appendix 7: Equality Impact Analysis Guidance and Form). The training will be devised by the Associate Dean for Culture, Development and Inclusion, and will include:

- i. A review of the legislative background;
- ii. The provisions of the Code of Practice for REF 2021;
- iii. Issues for individuals relating to non-selection;
- iv. How individual circumstances will be considered and applied.

53. 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 equality, diversity and inclusion training was completed by the REF Steering Executive members by 31<sup>st</sup> March 2019.

54. SGUL has made a commitment to strengthen recruitment and selection processes to ensure fairness and transparency. All staff who are involved in recruitment decisions will attend recruitment and selection training, unconscious bias training, and diversity in the workplace delivered by or the responsibility of HR.

## **REF 2021 Principles – transparency, consistency, accountability and inclusivity**

55. The four principles of REF 2021 Guidance on Codes of Practice outlined below will be followed in all stages of preparing the Institution’s submission to REF 2021.

<b>REF Principles</b>	<b>How St George’s is applying the principles</b>
Transparency	<ul style="list-style-type: none"> <li>• All processes concerned with identifying staff with significant responsibilities for research will be transparent (see Part 2: Identifying staff with significant responsibility for research).</li> <li>• All processes concerned with determining research independence will be transparent (see Part 3: Determining research independence).</li> <li>• All processes concerned with selecting outputs for inclusion in REF 2021 submissions will be transparent (see Part 4: Selection of outputs).</li> <li>• There was a consultation period for the Code of Practice to allow staff, trade unions and committees at St George’s to comment and provide feedback (see Part 1: How the code is being developed and communicated to staff).</li> <li>• The Code of Practice was be publicised to all academic staff via email and published on the intranet, making it available to staff who are off-site. The final Code of Practice will be published on the Institution’s external website (see Part 1: How the code is being developed and communicated to staff).</li> </ul>
Consistency	<ul style="list-style-type: none"> <li>• The Code of Practice will be implemented uniformly. The policy for identifying staff with significant responsibilities for research will be consistent across the Units of Assessment submitted to REF 2021 (see Part 2: Identifying staff with significant responsibility for research).</li> <li>• The Code of Practice will be implemented uniformly. The policy for determining research independence will be consistent across the Units of Assessment submitted to REF 2021 (see Part 3: Determining research independence).</li> <li>• The Code of Practice will be implemented uniformly selecting outputs will be consistent across the Units of Assessment submitted to REF 2021 (see Part 4: Selection of outputs).</li> <li>• All roles and responsibilities of the individuals and bodies involved in the REF submission will be identifiable (see Part 1: Roles and responsibilities).</li> </ul>
Accountability	<ul style="list-style-type: none"> <li>• The Code of Practice clearly defines the responsibilities of individuals and committees involved in selecting staff for submission to REF 2021 (see Part 1: Roles and responsibilities).</li> <li>• The Code of Practice also outlines the training that will be given to staff with decision making responsibilities (see Part 1: Training in the application of the Code of Practice).</li> </ul>
Inclusivity	<ul style="list-style-type: none"> <li>• Staff will be provided with the opportunity for disclosing individual staff circumstances. Clearly defined criteria for individual circumstances will be disseminated and a mechanism put in place for consideration of cases (see Part</li> </ul>



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

56. St George's, University of London is submitting 100% of Category A eligible staff for REF 2021. All research and academic staff with a significant responsibility for research are returned in the HESA return as 'research' or 'teaching and research' and are members or joint members of a SGUL Research Institute. All members or joint members of a SGUL Research Institute have a significant responsibility for research.
57. The remaining information in Part 2 is for clarity for SGUL staff.

### Policies and procedures

58. Staff representative groups agreed the policies and procedures for identifying staff with significant responsibility for research as described in Part 1 (How the Code of Practice was developed, and communicated and agreed with staff) and appended (Appendix 19: Letter of staff agreement with the Code of Practice).

### Criteria for eligible staff to be returned to REF 2021

#### Policy for the criteria for eligible staff to be returned to REF 2021

59. Category A<sup>14</sup> 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 (31<sup>st</sup> July 2020):
- Have an employment contract of 0.2 FTE or greater.
  - Are on the Payroll of St George's, University of London.
  - Have a primary employment function to undertake either 'research' or 'teaching and research' as evidenced in the Higher Education Statistics Agency (HESA) ACEMPFUN field as 2 or 3.<sup>15</sup> All staff returned as 'research only' or 'teaching and research' are members or joint members of a Research Institute (Infection and Immunity, Molecular and Clinical Sciences, or Population Health). All staff returned to HESA as 'teaching only' are members of the Institute of Medical and Biomedical Education.
  - Work in an area of research aligned with the REF's Units of Assessment that St George's will submit to REF 2021. Staff who are members of the Institute of Infection and Immunity Research Institute work in an area of research aligned with Unit of Assessment 1: Clinical

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<sup>14</sup> See Glossary for definition of Category A staff

<sup>15</sup> ACEMPFUN (academic employment function) field required from institutions by HESA, further information available at <https://www.hesa.ac.uk/collection/c18025/a/acempfun>

Medicine. Staff who are members of the Molecular & Clinical Sciences Research Institute work in an area of research aligned with Unit of Assessment 1: Clinical Medicine. Staff who are members of the Population Health Research Institute work in an area of research aligned with Unit of Assessment 2: Public Health, Health Services and Primary Care.<sup>16</sup>

- e. Are an independent researcher. At SGUL this is defined as being employed as a Professor, Reader, Senior Lecturer or Lecturer (including Clinical posts) OR holding an independently funded fellowship on the approved REF2021 'List of independent Research Fellowships' (Appendix 17: List of Independent Research Fellowships)<sup>17</sup> and have already been awarded their PhD or MD.

60. Alternatively, for former members of SGUL staff:

- f. Met all of the above criteria but ceased to be employed by SGUL before the census date on 31<sup>st</sup> July 2020 but after 1<sup>st</sup> January 2014 and St George's has chosen to include one or more of their outputs e.g. journal article. This includes redundant staff, although SGUL are not expecting to have any redundant staff. 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.

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

61. 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 summer/autumn 2020 after the census date (31<sup>st</sup> July 2020).

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

63. The data will be used for the final REF submission with a deadline of 31<sup>st</sup> March 2021.

64. 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.

65. 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.

66. Where a member of staff is employed on a minimum fractional contract (0.2 FTE to 0.29 FTE) a substantive connection statement to evidence the clear connection of the staff member with the submitting unit (Research Institute) will be provided, in accordance with the REF Guidance on Submissions 2019/01, paragraphs 123 – 127. The statement will be submitted

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<sup>16</sup> List of REF's Units of Assessments available at <https://www.ref.ac.uk/panels/units-of-assessment/>

<sup>17</sup> List of independent Research Fellowships provided by REF available at <https://www.ref.ac.uk/guidance/additional-guidance/>

to the REF Steering Executive by the Research Institute Director in liaison with the JRES (grant applications and awarded grants, and publication affiliation) and HR (term of contract with SGUL).

67. All 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 mechanism allowing academic staff to apply for joint membership of more than one Institute (see Part 2: Joint Membership between Institutes).

### **Identifying staff with significant responsibility for research**

#### *Policy for identifying staff with significant responsibility for research*

68. St George's will follow the REF indicators to identify staff with significant responsibility for research (see REF Guidance on Submissions 2019/01, paragraphs 138 – 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.

#### *Procedure for identifying staff with significant responsibility for research*

69. Staff are identified as members or joint members of a Research Institute in SGUL's HR system. All academic staff are members or joint members of a Research Institute (Infection & Immunity, Molecular and Clinical Sciences or Population Health) or the Institute for Medical and Biomedical Education (see paragraph 7).

70. Eligibility and assessment criteria for Research Institute membership is a track record of research as reported in high quality publications and active involvement in original and recent research that is of a high standard, and/or holding substantive research funding. As a member of a Research Institute, explicit time and resources are made available for research, members engage actively in independent research, and are encouraged to apply for research funding as the lead or co-applicant. Research is an expectation of the job role and is assessed during annual personal reviews between the member of staff and their line manager and for appraisal/promotion. Annually, staff have an opportunity to review their membership of a Research Institute and IMBE (see Part 2: Joint Membership between Institutes), including the time and resources made available for research.

71. All staff who are Category A eligible will be written to individually by the Academic Lead for REF in October 2019 and October 2020. All staff (via the email list, intranet and an article in George's Weekly e-newsletter) will be notified that letters have been sent and how to appeal if they did not receive an expected letter. Institute Directors will also confirm by email that their Category A REF eligible staff should have received a letter, and staff on Leave will be contacted by their line manager.

### **Joint Membership between Institutes**

72. 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.

73. Each year, St George's invites academic staff to apply for joint membership between Institutes in order to better recognise the split of their academic activities.

#### *Policy aims and objectives for Joint Membership between Institutes*

74. 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.

75. 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.

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

77. 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.

78. 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.

79. 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.

80. 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.
81. The process is announced annually by the central Human Resources (HR) function.
82. It will be an opportunity to review the individual's academic workload distribution, resources available for research and teaching and agree expectations.
83. There is an appeals process.
84. The overall process is reviewed annually for impact on equality, diversity and inclusion.

*Procedure, roles and responsibilities for Joint Membership between Institutes*

85. There is an annual call for applicants that wish to apply for Joint Membership between Institutes.
86. Eligible staff are Lecturers, Senior Lecturers, Readers and Professors with an academic contract with SGUL.
87. Staff should discuss expectations during their performance review with their line manager and/or with their current Institute Director within a year of applying.
88. Staff should apply using the relevant form and submitted to HR before the deadline.
89. 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 for Culture, Development and Inclusion.
90. The selection panel members will comprise of: Institute Directors of both relevant Institutes. They will be overseen and advised by the Human Resources Business Partners, HR, and the Associate Dean for Culture, Development and Inclusion.
91. 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 will be viewed favourably.
92. Eligibility and assessment criteria for IMBE membership:
  - a. A track-record of active involvement in education that is of a high standard, as reflected in good student, peer, course director and external examiner feedback;
  - b. Recent involvement in curriculum design, innovative pedagogy and educational research, scholarship and leadership will be viewed favourably.

93. 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.
  - g. The agreement of both Institute Directors, is required.
94. Applicants will be informed of the outcome of their application, and if successful, will meet with the relevant Institute Directors to obtain feedback and confirm the logistics of their joint membership.
95. Successful applicants will become joint Institute members but, for administrative purposes, will continue to have a "home" Institute, usually their original Institute at the time of application.
96. Unsuccessful applicants will be offered feedback on their application.
97. Applicants who wish to appeal a decision on Joint Membership between Institutes should submit their case in writing, within five working days of being informed of the original outcome, to an HR Business Partner, who will oversee and coordinate the appeals process.
98. 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).
99. Data on the process of application, selection and appeals will be collected and reviewed annually to identify any improvement measures. The Associate Dean for Culture, Development and Inclusion, will conduct the review and report to the Research Committee.
100. Policy and procedure to be reviewed three years from policy approval date.

## Timetable for Joint Membership between Institutes

101. Timetable for the 2019 application process.

Date	Event
17 April 2019	Announcement of applications process
17 April 2019	Application window opens
24 May 2019, 5pm	Deadline for applications
24 May – 07 June 2019	Selection panel (Institute Directors) consider applications, advised by HR and Associate Dean for Culture, Development and Inclusion
07 June 2019	Candidates informed of outcome of application and, if successful move to the next stage. (NB this date may be subject to change if the panel requires further information).
07 – 30 June 2019	Meetings held with candidates and relevant Institute Directors to agree logistics of joint membership.
01 July 2019	Joint membership becomes effective

## Appeals

### Appeals panel

102. The appeals panel operates independently of the REF Steering Executive.

103. The appeals panel is formed of two senior and experienced academics from the three Research Institutes and one senior and experienced academic from the Institute of Medical and Biomedical Education. The panel will be advised on the Code of Practice by either the Deputy Principal (Institutional Affairs) or the Associate Dean Culture, Development and Inclusion.

### Training of the Appeals Panel

104. The appeals panel will be trained in the Code of Practice and will have completed equality and diversity training (see Part 1: Training in the application of the Code of Practice).

### Grounds for appeal

105. 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; research independence; and joint membership between Institutes 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

106. 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 (see above) can appeal against the decision. Details of the grounds and process for appeals, and members of the Appeals Panel, will be available on the intranet.

- 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 one of the members of the Appeals Panel, the Deputy Principal (Institutional Affairs) or the Associate Dean for Culture, Development and Inclusion, formally stating that he or she wishes to appeal against the decision to include or not to include him or her in the REF submission, setting out the grounds for appeal.
- d. The Appeals Panel will seek written comments on the appeal from the Research Institute Director.
- e. The Appeals Panel will meet with the appellant and the Research Institute Director to hear the case. At such a meeting, the appellant may, if he or she so wishes, be accompanied by a Trade Union Representative and/or a colleague. The Appeals Panel will be assisted by a representative from HR, to act as clerk to the process and prepare a written report on the appeal.
- f. The Appeals Panel will make a judgement and will make a report with a recommendation whether to uphold or dismiss the appeal.
- g. The appellant will be informed of the decision in writing by the Appeals Panel.

## Timetable for Appeals Procedure

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

Date	Activity
30 November 2020	Deadline for staff to be informed by REF Steering Executive of inclusion/non-inclusion in REF 2021.
30 November 2020 to 18 January 2021	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 January 2021	Deadline for appellant to submit grounds for appeal in writing to Research Institute Director.



25 January 2021	Deadline for written appeals to be submitted by Research Institute Director to the Chair of Appeals Panel, the Deputy Principal (Institutional Affairs).
15 February 2021	Final date for consideration of appeals by the appeals panel – Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise).
22 February 2021	Deadline for Deputy Principal (Institutional Affairs) and Deputy Principal (Research & Enterprise) to make final decision on outcome of appeals.
01 March 2021	Deadline for staff to be advised on the outcome of final appeal.

### Part 3: Determining research independence

108. Staff employed in a Research Institute who perform ‘research only’ according to the HESA return must be independent researchers to meet the definition of Category A eligible staff. Staff who are ‘research only’ and independent researchers have significant responsibility for research and will be returned in REF 2021.

#### Policies and procedures

##### Determining research independence

###### Policy for determining research independence

109. 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, 2019/01, paragraphs 128 – 134).

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

111. The indicators for determining research independence are:<sup>18</sup>

- a. For determining research independence at St George’s, University of London, staff must carry the job title and role of one of: Lecturer, Senior Lecturer, Reader, or Professor, or;
- b. Hold an independently won, competitively awarded fellowship where research independence is a requirement, on the approved REF2021 ‘List of independent Research Fellowships’ (Appendix 17: List of Independent Research Fellowships) and be post PhD or MD.<sup>19</sup>

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<sup>18</sup> The REF Steering Executive discussed determining research independence on 28<sup>th</sup> June 2018. On 30<sup>th</sup> August 2018 SGUL’s policy ‘Independent researchers (suggested indicators)’ was discussed and agreed by the REF Steering Executive to agree the indicators for determining research independence for SGUL’s REF 2021 submission. The paper was discussed and approved at the Research Committee on 15<sup>th</sup> November 2018.

<sup>19</sup> List of independent research fellowships provided by REF <https://www.ref.ac.uk/media/1030/list-of-independent-research-fellowships.pdf>

112. For the purposes of REF, research assistants<sup>20</sup> are defined as 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 or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds (see REF Guidance on Submissions, 2019/01, paragraphs 129 – 130).

#### Procedure for determining research independence

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

114. Determining research independence is identified by job title and holding an independent fellowship. This is monitored in the SGUL HR system and the HESA return, and verified by Research Institute Directors and JRES records.

115. Staff in Research Institutes who are Category A eligible staff will be written to individually in October 2019 and October 2020 by the Academic Lead for REF to confirm their eligibility for the REF 2021 submission (see Part 2: Procedure for the Criteria for eligible staff to be returned to REF 2021).

#### Determining research independence – key roles and responsibilities

116. See Part 2: Procedure for the Criteria for eligible staff to be returned to REF 2021.

## **Appeals**

### **Grounds for appeal**

117. The grounds for appeal against a decision to include or not to include an individual in the REF 2021 submission on the grounds of research independence will be that:

- determining research independence has not been given appropriate consideration.
- the procedure outlined in this Code of Practice was applied incorrectly.

### **Appeals process**

118. The appeals process will be the same as for Part 2: Appeals process.

### **Timetable for Appeals Procedure**

119. The timetable for appeals procedure will be the same as for Part 2: Timetable for Appeals Procedure.

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<sup>20</sup> See Glossary for definition of Research Assistant

## Part 4: Selection of outputs

### Policies and procedures

120. 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 those areas of strength. Only in the research areas identified within Units of Assessment will research outputs be submitted.

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

122. 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

#### Policy for Selection of outputs

123. The policy and criteria for the selection of outputs have been developed by the REF Steering Executive.

#### Procedure Selection of outputs – roles and responsibilities

124. The procedure for the selection of outputs has been developed by the REF Steering Executive:

- a. All outputs considered for REF to be collected in CRIS (SGUL's data store of outputs) of current and former staff (Lead: Library).
- b. Staff will be asked to put forward their favoured top six papers (not mandatory).
- c. Eligible outputs of current and former staff identified in CRIS (Lead: JRES).
- d. Metrics used to initially rank outputs (Lead: JRES). SGUL is a signatory of the San Francisco Declaration on Research Assessment (DORA) and is committed to using publication metrics responsibly.
- e. 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 staff 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.
- f. External assessment scores.

- g. The strongest paper for each Category A returned academic staff member will be identified for submission.
- h. The remaining papers will be ranked, and the top papers chosen until cut-off of total FTE x 2.5 reached, removing those papers where all eligible SGUL authors on the paper have five others ranked more highly.<sup>21</sup>
- i. Final decisions confirmed by REF Steering Executive and approved by the Research Committee.

125. SGUL's CRIS system automatically collects all published outputs from PubMed, European PMC, CrossRef and the Web of Science from SGUL staff over the REF 2021 period. Using HR records, each output is assigned to one or multiple SGUL authors and checked for eligibility (see 121c). This includes staff who have left, including those made redundant.

## **Disclosure of individual staff circumstances**

### **Overview of individual staff circumstances**

126. 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 by the REF have been put in place to recognise the effect that individuals' circumstances may have on research productivity (see REF Guidance on Submissions, 2019/01, Part 3: Staff Circumstances, paragraphs 151 – 201).

127. SGUL's 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.

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

129. 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 (Appendix 18: Definition of staff circumstances for REF 2021) in the period 1<sup>st</sup> January 2014 to 31<sup>st</sup> July 2020. Such circumstances might include but are not restricted to:

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<sup>21</sup> REF has determined the output pool for REF 2021 calculated as the total Full Time Equivalent (FTE) Category A submitted staff on the census date (31 July 2020) multiplied by 2.5 to give the total number of outputs that must be submitted for REF 2021. The output pool has a maximum of five outputs attributed to individuals. See REF publication 'REF Guidance on Submissions' (2019/01), Part 3 Section 2: Research outputs and Figure 3. See Glossary for Category A staff.

- a. Qualifying as an early career researcher (defined as starting their career as independent researcher on or after 1<sup>st</sup> 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.
- g. Circumstances affected by COVID-19.

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

131. 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.

132. 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 (see REF Guidance on Submissions, 2019/01, Part 3: Section 1: Staff details – Staff circumstances).

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

134. 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**

135. 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.
136. Members of staff who feel that individual circumstances may apply to them and who wish to make a statement of such circumstances will be able to do so at the outset of preparations and at any time during the lead up to submission (from October 2019, when the disclosure period opens for individual staff circumstances, to 31<sup>st</sup> March 2021, when the REF submission period ends). This is a voluntary process.
137. 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. Additional guidance notes for applicants will accompany the form. Category A eligible staff will be notified of the process (Appendix 16: REF 2021 Individual Circumstances Disclosure Form) by individual email from the Academic Lead for REF in October 2019 and September 2020.
138. Staff are offered the option to discuss their intention to submit for individual staff circumstances before applying with the Academic Lead for REF, their Institute Director(s), the Deputy Principal (Research & Enterprise), or the Diversity and Inclusion Adviser, HR.
139. All first stage applications for staff disclosing personal circumstances must be submitted by 6<sup>th</sup> January 2020 to ensure due consideration by the time that St George's makes its submission to REF by March 2020. All eligible staff will be asked to complete this form between September 2019 and 6<sup>th</sup> January 2020. Disclosure forms may be submitted and revised after this date.
140. Individual circumstances forms should be submitted to the Diversity and Inclusion Adviser, HR. This person is independent of the REF Steering Executive.
141. The Diversity and Inclusion Adviser, HR, will provide necessary information to the REF Steering Executive subgroup.
142. All requests received will be reviewed by the subgroup of the REF Steering Executive and treated as confidential. This subgroup will include the Deputy Principal (Institutional Affairs) and/or the Associate Dean for Culture, Development and Inclusion and the relevant Research Institute Director. The Diversity and Inclusion Adviser, HR, will attend this meeting.
143. The relevant Research Institute Director will recommend if the overall output pool for the Unit of Assessment should be adjusted, or if the 'minimum of one' requirement for the individual staff member should be removed, and this will be based on the guidance in the REF Guidance on Submissions, 2019/01, paragraphs 156 – 201 and Appendix L. A summary of information and recommendations will be presented to REF Steering Executive.

144. The REF Steering Executive will make a decision if a reduction is to be applied at an individual level (removal of the requirements for the minimum of 1 output), unit level reduction or not at all. Decisions will be documented in the minutes and a redacted version of the minutes will be made to protect confidentiality.
145. The decision by the REF Steering Executive will be communicated in writing to each individual by the Diversity and Inclusion Adviser, HR. Additional support for individuals will be considered by the Diversity and Inclusion Adviser, HR, and the Director HR & OD (member of the REF Steering Executive), who will follow up with each member of staff.
146. All individual staff circumstances disclosure forms submitted to SGUL will be reported to REF as part of the final submission to REF (31<sup>st</sup> March 2021), without disclosing personal circumstances, irrespective of whether a reduction was applied. Completed individual staff circumstance disclosure forms submitted to SGUL will not be submitted to REF in full.
147. The university recognises that staff circumstances may change between completion of the declaration form and the census date (31<sup>st</sup> July 2020). If this is the case, then staff should contact the Diversity and Inclusion Adviser, HR to discuss and provide updated information.

## Contacts

148. Feedback on the Code of Practice and further information can be requested by contacting:
- Yvonne Castle, Research Strategy and Development Manager, Joint Research and Enterprise Services ([ycastle@sgul.ac.uk](mailto:ycastle@sgul.ac.uk)), or
  - Professor Jodi Lindsay, Academic Lead for REF and Professor, Institute of Infection and Immunity ([jlindsay@sgul.ac.uk](mailto:jlindsay@sgul.ac.uk))

## Acronyms and Glossary

BME	Black and minority ethnic
CRIS	Current Research Information System
EDI	Equality, diversity and inclusion
FTE	Full Time Equivalent
HEI	Higher Education Institute
HESA	Higher Education Statistics Agency
HR	Human Resources
HRERA	Human Resources Excellence in Research Award
IMBE	Institute of Medical and Biomedical Education
I&I	Infection and Immunity Research Institute
JNCC	Joint Negotiating and Consultative Committee
JRES	Joint Research and Enterprise Services
MCS	Molecular and Clinical Sciences Research Institute
OD	Organisational Development
PHRI	Population Health Research Institute
REF	Research Excellence Framework
SCWG	Scholarly Communications Working Group
SGUL	St George's, University of London

Academic staff	For the purposes of the Code of Practice and REF, academic staff are defined as SGUL staff with the job title Lecturer, Senior Lecturer, Reader, Professor.
Category A staff	Defined by REF as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date (31 <sup>st</sup> July 2020), whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive research connection with the submitting unit. Staff on 'research only' contracts should meet the definition of an independent researcher (see REF Guidance on Submissions 2019/01, Annex M: Index of definitions and data requirements).
Early career researcher	For the purposes of REF, early career researchers are defined as Category A staff who started their careers as independent researchers on or after 01 August 2016.
Independent Research Fellow / Independent Research Fellowship	Defined by REF as a researcher awarded a competitive research fellowship that requires research independence (Appendix 17: List of independent Research Fellowships); and as such has been identified as having significant responsibility for research. An independent researcher undertakes self-directed research, rather than carrying out another individual's research programme (see REF Guidance on Submissions, 2019/01, paragraph 131).
Research Assistant	For the purposes of the Code of Practice and REF, Research Assistants are defined as 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 enterprises, but they may also be funded from the institution's own funds (see REF Guidance on Submissions, 2019/01, paragraphs 129 - 130).



Part 5: Appendices

Appendix 1: Extract of Executive Summary, Strategic Plan, 2017 - 2022

Full document available at <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.

“ *We will sustain the excellence and impact of St George's.* ”

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 250 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.



**Professor Jenny Higham**  
Principal



**Appendix 2: Summary of Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017**

**Summary of legislation of the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017, extract from REF Guidance on Codes of Practice (2019/03)**

<p><b>Age</b></p>	<p>All employees within the HE 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.</p> <p>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.</p> <p>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 their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people.</p> <p>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.</p>
<p><b>Disability</b></p>	<p>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 has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability 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.</p> <p>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.</p>

	<p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>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 generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> <li>• sensory impairments</li> <li>• impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy</li> <li>• progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer</li> <li>• organ specific impairments, including respiratory conditions and cardiovascular diseases</li> <li>• developmental impairments, such as autistic spectrum disorders and dyslexia</li> <li>• mental health conditions such as depression and eating disorders</li> <li>• impairments caused by injury to the body or brain.</li> </ul> <p>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.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a 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').</p>
<p><b>Gender reassignment</b></p>	<p>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.</p> <p>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.</p> <p>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</p>

	<p>may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>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 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 195.</p> <p>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.</p>
<p><b>Marriage and civil partnership</b></p>	<p>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.</p> <p>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.</p>
<p><b>Political opinion</b></p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>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.</p>
<p><b>Pregnancy and maternity</b></p>	<p>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.</p> <p>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.</p> <p>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.</p>

	<p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
<b>Race</b>	<p>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.</p> <p>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).</p>
<b>Religion and belief including non-belief</b>	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and 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.</p> <p>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.</p>
<b>Sex (including breastfeeding and additional paternity and adoption leave)</b>	<p>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.</p> <p>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'.</p> <p>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', Annex L.</p> <p>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</p>

	<p>to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>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).</p>
<b>Sexual orientation</b>	<p>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.</p> <p>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.</p>
<b>Welsh language</b>	<p>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.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 284 and 285.</p>



## Appendix 3: Policy on the Use of Fixed-Term Contracts



### St George's, University of London

#### Policy on the Use of Fixed-Term Contracts

##### Purpose of Guidelines

1. The success of St George's lies with the potential, abilities and achievements of its staff, and the University seeks to employ high quality staff and to retain them.
2. St George's recognises that contract research staff form a distinctive group because of their large numbers and the very high proportion of postdoctoral researchers employed on fixed-term contracts. Significant progress has been made in identifying, encouraging and disseminating best practice in all aspects of their career management. St George's Policies and Procedures on Performance Management, Personal Reviews and a range of courses of particular interest to research staff cover such issues.
3. The aim of this policy is to provide a framework for contract provision for staff in line with the Fixed-Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 and with the JNCHES (Joint Negotiating Committee for Higher Education Staff) Guidance on Fixed-Term and Casual Employment.
4. The Regulations came into effect on 1 October 2002 and the key elements are:
  - They apply to all employees on fixed term contracts of employment;
  - Fixed-term employees have the right not to be treated less favourably than colleagues employed on permanent contracts, unless this treatment can be objectively justified;
  - Information on vacancies must be made available to those whose contracts are likely to or will expire, in order to assist them in securing permanent employment;
  - Fixed term employees have the right to request a written statement providing justification for any less favourable treatment (e.g. the renewal of a fixed term contract rather than the offer of an permanent contract) request;
  - An employee whose contract of employment is renewed after a period of 4 years service on a fixed term contract (or a succession of fixed term contracts) without objective justification will be deemed to be a permanent employee. This provision applies to renewals which take place on or after 10 July 2006.
5. The normal method of employment will be on a permanent contract. However, St George's considers that for some posts, a fixed-term contract is appropriate where the reason for it can be objectively justified (see below).
6. The use of fixed-term contracts will be monitored by the Human Resources Committee

## **Should a Post be Fixed Term or Permanent?**

7. In considering whether a post is to be fixed-term or permanent, consideration will be given to all available information on anticipated staffing changes through planned retirements, promotions, changes in funding and income streams and other relevant information.
8. Posts will normally be established on a fixed-term basis in accordance with the following criteria:
  - Where funding is available only to employ specific skills to carry out a specific, time-limited piece of work or project, for example a grant funded post;
  - Where an appointment is for the purpose of research training;
  - Where the employment is associated with an activity where there is a risk, for example: the financial sustainability of a new course when it is not known whether or not it will succeed or fail, to meet variable and uncertain student or other business demand;
  - To cover specific absences e.g. maternity leave, secondment, sickness, periodic leave, temporary, acting or other appointments etc;
  - Where a former employee is re-engaged following retirement;
  - To teach short courses;
  - To undertake a specific time-limited project;
  - Where there is genuine uncertainty about the continued funding or need for a post in the foreseeable future;
  - Where appointments to posts are made on a rotational basis e.g. Clinical Research Fellows on the Specialist Trainee training programme.

## **Circumstances which will give rise to a transfer from a fixed term contract to a permanent contract.**

9. If a post does not meet the criteria for the use of fixed term contracts detailed at 8 above and the funding stream is reasonably assured, the member of staff will transfer to an indefinite contract. Transfer of a post to an indefinite contract will be on the basis of the nature of the post, the work being undertaken and the funding stream, rather than on the attainment of a specific number of years of continuous employment.

## **Redundancy Payments on the Expiry of a Fixed Term Contract**

10. Redundancy payments on the expiry of a fixed term contract will be paid in accordance with the statutory redundancy pay regulations. These include using the statutory maximum weekly wage as the basis for the calculations.

## Appendix 4: Concordat to Support the Career Development of Researchers (extract)

### **The Concordat to Support the Career Development of Researchers Four Year Review Action Plan May 2018 - May 2020**

This action plan outlines the activities and actions that will support St George's, University London (SGUL) to be effective in supporting the development of all our research staff and the implementation of the **UK Concordat to Support the Career Development of Researchers (2011)**. The action plan also supports the University's submission for the four-year review of the HR Excellence in Research Award to Vitae.

#### **SGUL Strategic Plan 2017 – 2022**

Our Strategic Plan 2017-2022 includes a six point Research Strategy that emphasises Excellence and Impact and aims to develop our early faculty and research staff. It aims to make the most of our research collaborations, especially links with St George's University Hospital NHS Foundation Trust and to enable staff to reach their full potential. Our research objectives are to:

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

We plan to enhance the research environment and facilitate excellence by:

1. Extending strategic collaboration with St George's University Hospital NHS Foundation Trust and other local healthcare providers and with research institutions nationally and internationally.
2. Providing a supportive research environment that inspires innovation and enables people at all stages of their careers to reach their full potential.
3. Recognising, inspiring and retaining research staff at all stages of their careers, and to nurture scientific leaders of the future.
4. Maximising the impact of our research and its contribution to scientific knowledge and clinical practice.
5. Engaging the public in our science and communicating widely the significance of research.
6. Providing expert opinion at local, national and international levels to inform policy relevant to our vision and mission.

The Strategic Plan also outlines how we will contribute to facilitating excellence through our key people-related objectives by:

- Maximising the potential of our students and staff in a collaborative, inclusive and supportive community.
- Valuing and celebrating our diversity.
- Attracting, retaining and developing a talented and high-performing workforce with a shared sense of purpose.
- Building a culture that values ambition, expects accountability and recognises excellence.

SGUL aims to provide our research staff at all stages of their careers with development opportunities, skills and knowledge to succeed in their professional roles; alongside career development, advice and guidance to encourage them to transition to future roles within SGUL, to other HEIs or related employment. This includes close working with St George's University Hospital NHS Foundation Trust. In delivering this action plan SGUL demonstrates its commitment to support, develop and enable researchers to progress professionally. When considering research staff as part of our action plan we include Research Assistants and Research Fellows who are usually, but not always, Post Docs, as well as academic staff (Lecturers, Senior Lecturers, Readers and Professors). For the purposes of this action plan, when referring to Early Career Researchers (ECRs) we are mainly considering Post Docs, Research Assistants/Fellows as well as Lecturers in the early stages of their career. However, development opportunities are also provided to PhD students via Student Services, teacher training and with career support via the University of London Careers Service.

For reference the numbers in the Concordat Statement column below refer to the relevant criteria from the *UK Concordat to Support the Career Development of Researchers (2011)*.

- 1. Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.**
- 2. Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.**
- 3. Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.**
- 4. The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.**
- 5. Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.**

**6. Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.**

**7. The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.**

### **Governance**

The development of this plan was undertaken by a Working Group including representatives from the Post Doc forum, HR, Joint Research and Enterprise Service (JRES) and academics. The plan's implementation will be overseen by a new **HREIR Implementation Group** (HREIRIG). This group will comprise of: Deputy Principal (Research & Enterprise) - Dean of Research, Director of HR and OD, Associate Dean for the Career Development of Academic Staff, Learning and Development Manager, Diversity and Inclusion Adviser and research staff including representatives from the Research Institutes, the Athena SWAN Self-Assessment Team (SAT), ECR lecturers, the Post Doc Forum and research operations. It will be chaired by the Deputy Principal (Research & Enterprise), who is the career development champion for research staff. Reports and actions from HREIRIG will then be referred to relevant University committees such as the Research Committee, Diversity and Inclusion Steering Group and Athena SWAN SAT.

A new Deputy Principal (Research and Enterprise) was appointed in September 2018. He has reviewed the committee structure for research and combined the Research Strategy Committee with the Research Operations Group into a single Research Committee, supported by a Research Steering Group. The Research Committee will have responsibility for research strategy and operations, including development of research staff, and has representation from ECRs and PhD students. It is also responsible for overseeing the allocation of central research funds, eg bridging funding.

The Athena SWAN SAT, led by Deputy Principal (Institutional Affairs) and Associate Dean for Equality Diversity and Inclusion, directs progress of our Institutional Silver Award action plan 2017-2021. The actions reflect our commitment to advancing gender equality and in particular a more inclusive community for staff at all stages of their career. For actions that are tailored for research staff and students, Athena SWAN SAT will work closely with HREIRIG and the Deputy Principal (Research & Enterprise) to ensure effective implementation and integrated support for researchers.

### **Project Management and Review of the HREIRA Action Plan**

The HREIRIG will report to the Research Committee, who reports to Executive Board who in turn report to Council. The HREIRIG will formally review the progress of this action plan each academic term and at the end of Year 1 (May 2019) and Year 2 (May 2020). Membership of HREIRIG will be regularly reviewed and updated as necessary.

## **Appendix 5: Diversity and Inclusion Steering Group Membership and Terms of Reference 2018/19**

### **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

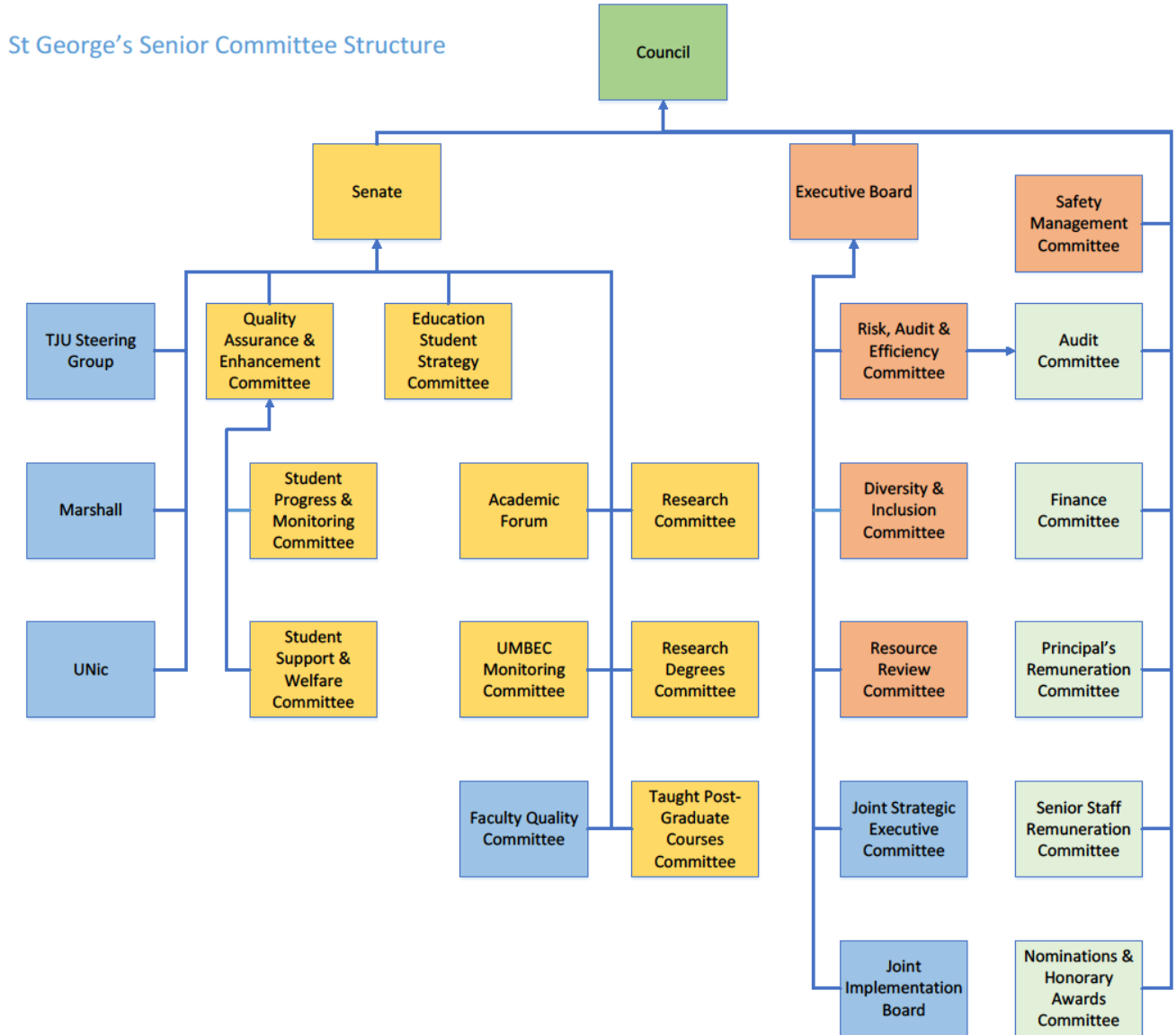
Associate Dean – Diversity and Inclusion  
Institute Directors from at least 2 institutes  
Academic Registrar  
Dean – Faculty of Health, Social Care and Education  
Dean for Students  
Director of External Relations, Communications and Marketing  
Student Union representative – Vice President (Education 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

## Appendix 6: St George's Senior Committee Structure





## Appendix 7: St George's Equality Analysis Guidance and Form

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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 ensure 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](mailto:amkhan@sgul.ac.uk)

Vanessa Ho - Associate Dean Diversity & Inclusion [vho@sgul.ac.uk](mailto:vho@sgul.ac.uk)

Emma Catlow – Disability Advisor (Students) [ecatlow@sgul.ac.uk](mailto:ecatlow@sgul.ac.uk)



## Appendix 8: St George's Equality Analysis completed



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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?

**REF2021 submission – Code of Practice. This will impact on staff.**

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

**Female, minority ethnic staff or staff with declared disability are less represented among academic staff with significant responsibility for research. See Point 5 below.**

**Potential indirect impact on if career progression is linked to research and REF returnability.**

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

**Positive or negative, depending on the sub-groups of staff.**

4. Have you consulted with any interested groups?

*Particular members of staff or students*

**Multiple consultations with staff over a month. These include public consultation events that are attended by research-focused and education-focused staff, as well as directors of all 4 academic institutes and our Principal.**

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)*

**The gender, ethnicity and disability status of staff are analysed. Comparisons among all staff, all academics, academics eligible for REF, and academics in the education institute IMBE (who are not eligible for REF). See Table 1 below.**

**This initial equality analysis does not cover the number of research outputs selected for REF returns.**



**Table 1. Staff profile based on gender, ethnicity, and disability (HR records on 25/1/2019). Academics refer to lecturers, senior lecturers, readers or professors. The number of staff (headcounts) in each category is indicated in brackets.**

Characteristics	All staff (770)	All academics* (214)	REF academics (114)	IMBE academics (99)
Male	37.4%	49.1%	59.6%	37.8%
White**	65.8%	73.8%	78.1%	69.7%
No known disability**	90.5%	87.9%	93.0%	82.8%

\* One academic has significant responsibility of research but with less than 0.2 FTE. This staff member is excluded from REF academics data.

\*\*For ethnicity and disability, 4-6% of staff entries recorded “prefer not to say” or “data not provided”.

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

**Impact on career progression may be positive or negative. Potentially positive impact for those wanting to take a greater research role and eligible for joint membership of a Research Institute, but potentially negative impact for those without significant research responsibility, or not considered to have sufficient quality research outputs.**

- 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.

**We have three research institutes (MCS, I&I, and PHRI) and an education institute (IMBE). As indicated in the draft REF2021 Code of Practice, staff with significant research responsibility is defined by membership of a research institute. This is a policy based on job expectations.**

**Diversity and inclusion are at the core of St George’s Strategy 2017-2022. Since REF2014, we have obtained an Institutional Bronze Athena SWAN award (in 2014) and progressed to an Institutional Silver Athena SWAN award (in 2018). This recognises our progress in gender equality and practices in promoting an inclusive environment. We are also committed to initiatives that consider equality of opportunities beyond gender.**

**For REF2014, proportionately more male staff were eligible and returned for REF. The percentage female of academic staff among the eligible or returned population was 30% or less. This has increased to 40% female (REF academics; Table 1). Currently, REF returnable staff also include more ethnic minorities (REF2014: 18%; Table1: 22%) and staff with declared disability (REF2014: 0%; Table 1: 7%).**





Nonetheless, academic staff eligible for REF returns (0.2 FTE; with significant responsibility for research; independent) are more likely to be male, white, or with no known disability compared to the demographics of academics in IMBE (primarily teaching) or the overall workforce at St George's.

The differences in demographics profile between research-focused and education-focused staff might reflect differences in progression, promotion, and general support for staff. Additional analysis reveals that research-focused academic staff are less likely to work part-time.

*Mitigating actions, include:*

Our academic promotion structure offers flexibility and staff are promoted based on quality of achievements and impact in either research or education, or both. Part-time working, periods of leave or other personal circumstances are also taken into account.

We continue to expand our staff development programme, including training for research skills and methods. A new Associate Dean is appointed to oversee career development for academic staff (to commence in 2019). The plan is to provide more co-ordinated support for research-focused, education-focused, or mixed research and education staff. This includes career coaching, expanded line manager training, and writing support for fellowship applications.

Staff are offered opportunities to review the balance of their teaching and research activities through a new joint institute membership scheme (to commence in 2019). This is linked to the annual personal reviews and takes into account the dynamic nature of academic progress. Staff can apply for joint membership of any Institute, with agreed expectations on resources, time, support and performance. Equality analysis on the joint membership scheme will be conducted in due course.

Author: **Dr Vanessa Ho**

Dated: **25/3/2019**

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

Jenny Winters – Director of HR and OD

[jwinters@sgul.ac.uk](mailto:jwinters@sgul.ac.uk)

Vanessa Ho – Associate Dean for Equality, Diversity & Inclusion

[vho@sgul.ac.uk](mailto:vho@sgul.ac.uk)

Emma Catlow – Disability Advisor (Students)

[ecatlow@sgul.ac.uk](mailto:ecatlow@sgul.ac.uk)



## Appendix 9: 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. Report for information to Executive Board and Senate.
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:

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

## Membership:

### Chair:

Professor Jodi Lindsay                      Academic Lead for REF 2021

### Deputy Chair:

Professor Jon Friedland                      Deputy Principal (Research and Enterprise)

### Members:

Dr Rachel Allen	Head of Graduate School (and deputy for Director, IMBE)
Professor Dot Bennett	Research Institute Director, Molecular and Clinical Sciences
Professor Deborah Bowman	Deputy Principal (Institutional Affairs)
Mark Cranmer	Director of Joint Research & Enterprise Services
Dr Dan Forton	Associate Medical Director (Research), St George's University Hospitals NHS Foundation Trust
Professor Peter Garrard	Clinical Academic Representative (Neuroscience)
Professor Priscilla Harries	Associate Dean for Research and Innovation, FHSCE
(deputy) Professor Annette Boaz	Professor in Health Care Research, FHSCE
Professor Tom Harrison	Clinical Academic Representative (Infection)
Dr Vanessa Ho	Associate Dean for Culture, Development and Inclusion
Professor Juan Carlos Kaski	Chair of REF Impact Case Studies sub-committee; and Clinical Academic Representative (Cardiology)
Professor Julian Ma	Research Institute Director, Infection and Immunity
Louise Phillips	Head of Research Funding, JRES
Professor Alicja Rudnicka	Researcher Representative
Professor Jane Saffell	Institute Director, Medical and Biomedical Education
Dr Laura Southgate	Researcher Representative
Professor Peter Whincup	Research Institute Director, Population Health
Jenny Winters	Director of Human Resources and Organisational Development

### Secretary:

Yvonne Castle                                      Research Strategy and Development Manager, JRES

15/05/2019

## Appendix 10: Research Committee Membership and Terms of Reference



### Research Committee

#### Membership and Terms of Reference 2019-20

**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 including minutes from the specified Groups: 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	Yvonne Castle
Principal	Professor Jenny Higham
Deputy Principal (Institutional Affairs) & Athena Swan lead	Professor Deborah Bowman
Associate Medical Director (Research), SGUHFT	Dr Dan Forton
Academic Lead for REF	Professor Jodi Lindsay
Institute Directors (or designee)	
Molecular and Clinical Science Research Institute (Alternate	Professor Dot Bennett (Professor Peter Garrard)
Infection and Immunity Research Institute (Alternate	Professor Julian Ma (Professor Tom Harrison)
Population Health Research Institute (Alternate	Professor Peter Whincup (Professor Christopher Owen)
Institute of Medical and Biomedical Education (Alternate	Professor Jane Saffell (Dr Vanessa Ho)
Associate Dean for Research & Innovation, The Faculty of Health, Social Care & Education, FHSCE	Professor Priscilla Harries
Associate Dean for Culture, Development and Inclusion	Dr Vanessa Ho
Head of Graduate School	Dr Rachel Allen
Director of Joint Research and Enterprise Service	Mark Cranmer
Head of Research Funding (JRES)	Louise Phillips
Head of Research Governance & Delivery, JRES	Subhir Bedi
Head of Enterprise & Innovation, JRES	Dr Sven Hoffman
Early Career Researcher Representatives	
University Lecturer rep	Dr Angela Donin
Postdoctoral scientist rep	Dr Arya Gupta
PhD student rep	Clare Benson
St George's Research Ethics Committee, Chair	Professor Paul Heath

Chair Safety Management Committee (Alternate: Safety Health and Environmental Manager)	Professor Deborah Baines Anne Harris)
Chief Operating Officer	Paul Ratcliffe
Director of Research Operations	Katia Nesbitt / Dr Anna Dulic-Sills
Senior Laboratory Manager	Dr Penelope Lympny
Head of Biological Research Facility	Robert Bond
Director of Information Services	Robert Churm
Director of Estates and Facilities	Derek Bannister
Director of Finance (Alternate)	Nicola Arnold (Susan McPheat, Deputy Director of Finance) (Karen Stewart, Research Finance Manager)
Director of Planning	Dr Julie Leeming
Director of External Relations & Communications (Alternate)	Caroline Davis (Henry Rummins, Acting Head of Communications)
Director, Human Resources and Organisational Development	Jenny Winters
Scholarly Communications Working Group, Chair	Dr Atticus Hainsworth
Associate Director of Information Services (Library and Learning Services) (Alternate:	Sue David (Lawrence Jones, Content and Digital Infrastructure Manager)
Research Institute Managers Molecular and Clinical Sciences Infection and Immunity Population Health	Jo Eggleton Melanie Monteiro Cheryl Watson

09/09/2019

## Appendix 11: George's Weekly e-newsletter article "We want your say"

### 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](mailto:jlindsay@sgul.ac.uk) or the Research Strategy & Development Manager Yvonne Castle [ycastle@sgul.ac.uk](mailto:ycastle@sgul.ac.uk).

## Appendix 12: Staff email from REF Academic Lead – updates 1, 3

**From:** Jodi Lindsay <[jlindsay@sgul.ac.uk](mailto:jlindsay@sgul.ac.uk)>

**Sent:** 29 January 2019 16:52

**Cc:** Jodi Lindsay <[jlindsay@sgul.ac.uk](mailto:jlindsay@sgul.ac.uk)>; Yvonne Castle <[ycastle@sgul.ac.uk](mailto:ycastle@sgul.ac.uk)>

**Subject:** REF2021 update 1 - SGUL's Code of Practice - we need your feedback

Dear colleagues,

REF2021 is the national exercise to assess the quality of research in higher education (<https://www.ref.ac.uk/>), and SGUL's REF2021 submission will impact on our income and reputation. As part of the REF2021 process, SGUL will submit our Code of Practice to REF on June 7 2019.

The Code of Practice states how SGUL will

- Identify which staff will be returned for REF2021
- Identify staff with significant responsibility for research
- Outline how outputs (papers) will be identified for return.

The Code of Practice requires staff consultation before the final version is agreed upon and submitted.

Our latest DRAFT is available on our portal, and we invite you to provide feedback and comments. <https://portal.sgul.ac.uk/research/ref2021/ref-2021-code-of-practice>

It is also being circulated through the union representatives, and we will have a staff presentation and discussion session on Feb 14 at 1pm – 2pm in Lecture Theatre B. All staff are welcome, and you can sign up to attend at

<https://forms.office.com/Pages/ResponsePage.aspx?id=a7xs9vfNYUK9c0Pb057iqvn8oSi7nU1AoMuQkniWmNUN1pOS1JSQzBKMEZYURERzFERExKQktDTi4u>

There is a website for feeding back comments here – <http://sgul.ac.uk/refcode>

Alternatively, you can email me directly, or Yvonne Castle, our Research Strategy & Development Manager, [ycastle@sgul.ac.uk](mailto:ycastle@sgul.ac.uk)

Feedback closes on Feb 28 2019 and will be presented to SGUL's REF Steering committee for discussion and consideration.



Our Code of Practice is a long document. So here is a summary of our strategy:

Staff will be returned if (on the census date of July 31, 2020) they

- have a contract with SGUL >0.2 FTE,
- research in an area aligned with SGUL's submission strategy,
- are a member or a joint member of a Research Institute,
- are employed as a Professor, Reader, Senior Lecturer or Lecturer or hold an independently funded fellowship post-PhD/MD.

Note that there is a new procedure for staff wishing to apply to be a joint member of an Institute and this is detailed in the Code of Practice.

Outputs will be selected for return using the following guidelines -

- 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
- 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.

Thank you for your help, and we look forward to your feedback.

Best wishes

Jodi

Academic Lead for REF2021

**From:** Jodi Lindsay <[jlindsay@sgul.ac.uk](mailto:jlindsay@sgul.ac.uk)>

**Sent:** 09 May 2019 17:19

**Cc:** Jodi Lindsay <[jlindsay@sgul.ac.uk](mailto:jlindsay@sgul.ac.uk)>; Yvonne Castle <[ycastle@sgul.ac.uk](mailto:ycastle@sgul.ac.uk)>

**Subject:** REF2021 update 3 - Latest version of our Code of Practice (CoP) and new Joint Institute membership call

Dear colleagues,

SGUL's Code of Practice reports our strategy for submitting to REF2021, and particularly how staff and papers will be chosen for return. It also emphasises the way our committees work and how we communicate with staff, with transparency, fairness and openness. Our CoP is due on June 7 2019, and must be approved by REF2021's ADEP committee.

As you know, we have had a lengthy consultation process with the unions, with staff through emails and items in George's news, a staff event and the SGUL website which included a feedback site.

CoP has also been discussed and disseminated amongst many stakeholder groups, such as Research Institutes, Lecturer and Post-doc forums and amongst Professional Services teams.

We are now pleased to present an (almost!) final version which incorporates responses to all of the feedback, as well as changes in response to the final REF2021 guidelines and improvements for clarity, presentation and logistics. This version is available here for everyone to have a final say - <https://portal.sgul.ac.uk/research/ref2021/ref-2021-code-of-practice>

Responses received during consultation through the online form by the deadline were read, recorded and analysed to inform any changes to the final Code of Practice document. All staff responses were discussed by the REF Steering Executive at a meeting on 14 March 2019, and are summarized [here](#).

Please direct any final comments you might have to Jodi Lindsay or Yvonne Castle.

We also draw your attention to the new policy and application procedure for joint Institute membership. This will be an annual call, and the first closing date is 13 May 2019.

<http://georgesweekly.sgul.ac.uk/1q1339wqwo61mu669v8dk3?email=true&a=1&p=54868608&t=28568507>.

Thanks for your support,

Best wishes

Jodi

Academic Lead for REF2021

## **Appendix 13: Code of Practice Staff Consultation Survey**

### **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 28<sup>th</sup> February 2019 using the online survey. The survey can be accessed at: [insert hyperlink]. The consultation is open from 29<sup>th</sup> January 2019 to 28<sup>th</sup> 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 14<sup>th</sup> 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 28<sup>th</sup> 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 14: St George's Privacy Notice



# STAFF PRIVACY NOTICE

### St George's University of London

St George's University of London is the data controller of the personal data that you provide us with. The University is committed to ensuring that your information is processed in line with the requirements of UK Data Protection Legislation.

### What information we collect from you and why

We process personal information relating to those we employ to work as part of our workforce. It is a necessary requirement of your contract with the University that we maintain a personal record for you, and this contractual requirement constitutes the lawful basis for our using your personal information. The type of data being processed falls into the following categories:

- Personal information such as names and addresses, employee number, national insurance number
- Other contact information such as next of kin and emergency contact details
- Contract information such as start and end dates, positions, salary and pension information
- Academic qualifications, language test results where required, names of employment referees
- Special categories of personal information including protected characteristics such as racial or ethnic origin, disability, gender, sexual life, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of data relating to criminal proceedings if required
- Absence information such as absence periods and absence reasons

### How we obtain your information

Personal information provided by you to the HR department in the University is typically entered from recruitment and thereafter, over the course of your employment.

### Where we store your information

All Personally Identifiable Information (PII) is held and maintained by Human Resources in a hybrid paper and electronic form. Personal and special categories of personal information are held in electronic and paper files, proprietary systems, and a repository database to feed all internal staff interfaces, for example, to support your pass to enter the building and to enable you to access and post research publications on library registration systems. For these interfaces with our internal systems, we keep your information securely stored on our servers where access is restricted to authorised staff only.

In paper, personal information is stored securely in rolling racked filing cabinets on campus. St George's University of London also use managed software services for its electronic staff records. Midland HR Ltd (MHR) is the software provider which provides hosted data servers. Connection to the MHR servers is via industry security standard for authentication using 256 bit encryption to protect the data exchange between St George's and MHR.

### How we share information

Personal and special categories of information held on our staff personal record systems may be shared in a number of ways, for example:

- **HR Records:** a personal record us held to identify you and ensure the staff record we hold for you is an accurate, complete and an up to date record. Line managers may have access to personal data that is provided by you including your name, title, position and right to work.
- **HR and Payroll Records:** to assist the University to maintain its personal record for you and to exercise all payroll responsibilities on managing your employment, your name, title, gender, address, bank account details are provided to payroll for the purposes of making payments to your bank account, making deductions, and processing pensions.
- **University Reporting:** your personal record is used to provide statistics and management information that will enable the University to monitor the effectiveness of its policies and procedures, for



example, for the purposes of equal pay auditing by other associated third party suppliers procured by the University as data processors, to analyse and report on our human resource and payroll data.

- **External Reporting:** your personal record is used to provide and share your information when asked and required, for example, to supply anonymised information about our staff to external bodies such as the Higher Education Statistical Agency (HESA). Staff data about you is sent in an anonymised form (so you cannot be identified from it). Please visit the [HESA](#) site for more information.
- **Third parties:** your personal information is provided to third parties, for example, to confirm the dates and nature of your employment to a prospective employer, to outsourced providers that provide services on behalf of the University, this includes the provider of the University newsletter, our pensions provider and our Occupational Health provider. Please note that if you provide us with any personal data which is defined as a special category of personal data under UK Data Protection Legislation, then we will not disclose this to any third party for any reason without your consent. For a list of full third suppliers, please [contact hrhelp@sgul.ac.uk](mailto:hrhelp@sgul.ac.uk)
- **Safeguarding:** we may also send your personal information to third parties, where the law allows it, for example to seek safeguarding disclosures. We will not disclose your personal data to any third party unless we have your permission to do so.

**Overseas Nationals:** This statement only applies to staff with Tier 2 or Tier 5 visas. As required by UK government legislation we will report on your eligibility to work to UK Visas and Immigration as and when required.

### How long we keep your information for

Your sensitive data will only be kept during your employment as a member of the University and thereafter, in accordance with statutory retention periods.

### Accuracy of information

We will take all reasonable steps to create an accurate person record of any personal information submitted. However, we do not assume responsibility for the ongoing accuracy of your personal information. You can update your personal information by making amendments to your person record in [MyWorkplace](#), or by emailing us [at.hrhelp@sgul.ac.uk](mailto:at.hrhelp@sgul.ac.uk).

### When you leave

If you decide to leave employment with us, your personnel data is in most cases is kept for 6 years from the date you leave and with your consent, for longer, for processing requests such as from potential employers. If you were a member of a pension scheme, some information will be kept longer to allow payment of a pension. We will retain your personal data no longer than is necessary for the stated purposes. If you wish to delete your personal information from our electronic or paper systems, please contact [dataprotection@sgul.ac.uk](mailto:dataprotection@sgul.ac.uk).

### What your rights are

You have a right to request access to your personal data, to object to the processing of your personal data, to rectify errors or omissions, erase out of date or irrelevant information, restrict and port your personal data. To request a copy of the personal data we hold for you please contact the Data Protection Officer via [dataprotection@sgul.ac.uk](mailto:dataprotection@sgul.ac.uk).

### How to contact us

The University's Data Protection Officer can be contacted at:

Email: [dataprotection@sgul.ac.uk](mailto:dataprotection@sgul.ac.uk)

Tel: 020 8725 0668

Address: Data Protection Officer, Information Services, St George's University of London,  
Cranmer Terrace, LONDON SW17 0RE

### How to make a complaint


If you are unhappy with the way in which your personal data is being processed you may, in the first instance, lodge a complaint with the Data Protection Officer.

If you continue to have concerns thereafter you have the right to contact the Information Commissioner for a decision. The Information Commissioner can be contacted as below

Helpline: 0303 123 1113

Website: <https://ico.org.uk/for-the-public/raising-concerns/>

## Appendix 15: SOP Data Protection

SOP Title Reference: <b>Data Protection</b>	Last Reviewed: <b>14/05/2018</b>	Last Revised: <b>14/05/2018</b>	 The logo features a knight on a horse, a stylized figure holding a spear, with the text 'St George's University of London' below it.
Author: <b>Information Services</b>			
<h1>St George's University of London Policies and Procedures</h1>  <h2>Data Protection Policy</h2> <p>(see also related documents 'Guidance on Data Protection')</p>			
<p>St George's, University of London, Jenner Wing, Cranmer Terrace, London SW17 0RE</p>			

## **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 Guidance on Data Protection 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 Guidance on Data Protection document.

## **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**

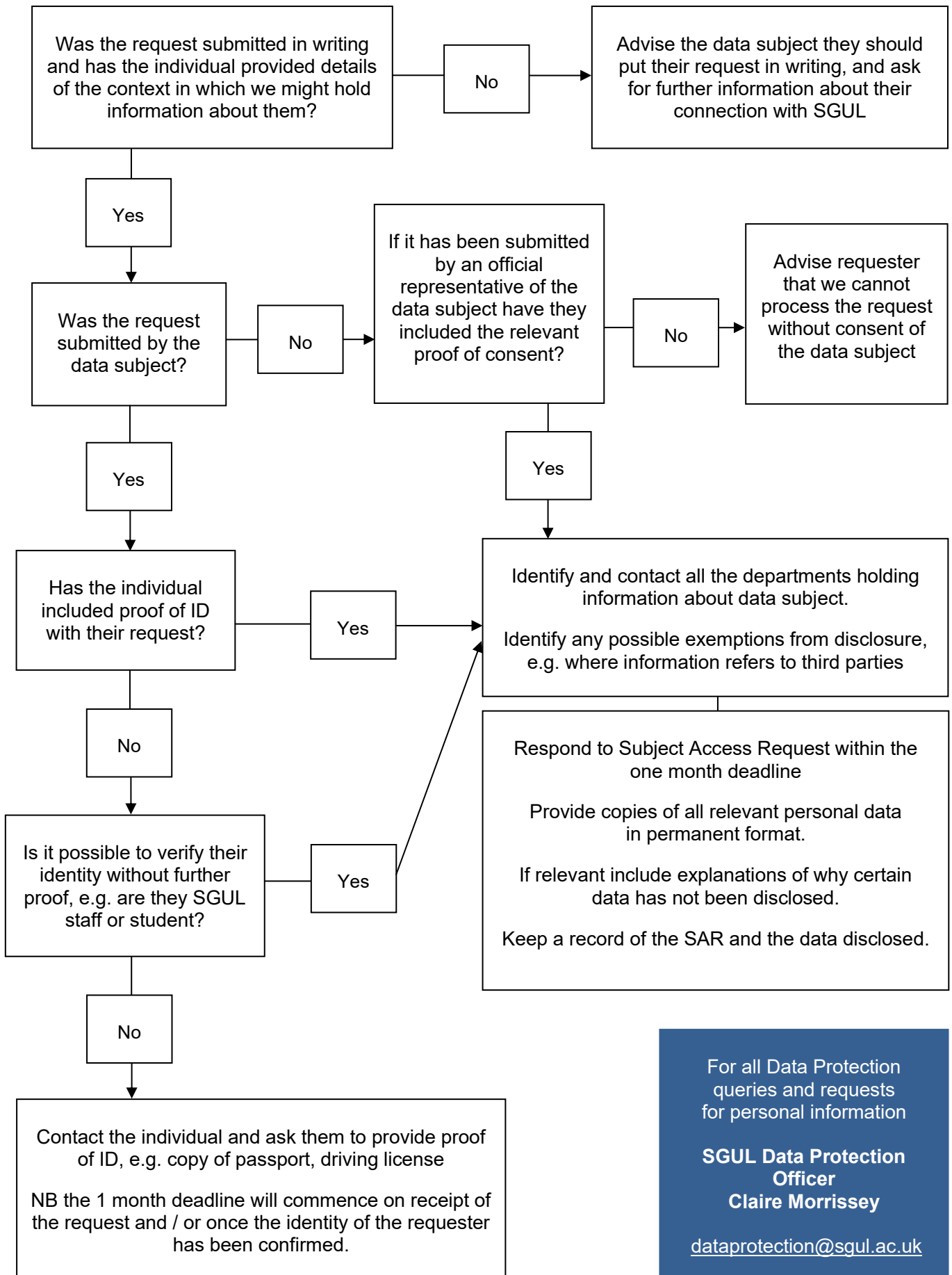
The Institution is the data controller under Data Protection Legislation and is therefore ultimately responsible for implementation. However, day to day matters will be dealt with by the Data Protection Officer, details of which are below:

Claire Morrissey  
Data Protection Officer

Tel: 020 8725 0668 Email: [dataprotection@sgul.ac.uk](mailto:dataprotection@sgul.ac.uk)

# Appendix A

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



For all Data Protection queries and requests for personal information

**SGUL Data Protection Officer**  
**Claire Morrissey**

[dataprotection@sgul.ac.uk](mailto:dataprotection@sgul.ac.uk)

## Declaration of Individual Staff Circumstances template

This document is being sent to all Category A staff whose outputs are eligible for submission to REF 2021 (see REF [‘Guidance on submissions’ on the REF 2021 website](#), paragraphs 117-122). As part of the university’s commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1<sup>st</sup> January 2014 – 31<sup>st</sup> July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

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

### Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31<sup>st</sup> July 2020
- Disability (including chronic conditions)
- Physical ill health or injury and/or mental health conditions

- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form.

Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01).

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so.

This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

### **Ensuring Confidentiality – funding bodies**

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of ‘minimum of one’ requirement or unit circumstances), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the [‘Guidance on submissions’](#) document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals’ circumstances on completion of the assessment phase.

### **Ensuring confidentiality – St George’s, University of London**

The overview and process for the disclosure of individual staff circumstances is contained within St George’s, University of London, Code of Practice for REF 2021. Text from the Code of Practice is provided below.

#### **Overview of individual staff circumstances**

St George’s, University of London, Code of Practice for the REF 2021 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.



SGUL's 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.

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

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 (Appendix 18: Definition of staff circumstances for REF 2021) in the period 1<sup>st</sup> January 2014 to 31<sup>st</sup> July 2020. 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 1<sup>st</sup> 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. Physical ill health or injury and/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 characteristic or relating to activities protected by employment legislation.
  - vii. Any other exceptional circumstances (such as bereavement).
- f. Part-time working.

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

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.

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 (see REF Guidance on Submissions, 2019/01, Part 3: Section 1: Staff details – Staff circumstances).

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

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**

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.

Members of staff who feel that individual circumstances may apply to them and who wish to make a statement of such circumstances will be able to do so at the outset of preparations and at any time during the lead up to submission (from October 2019, when the disclosure period opens for individual staff circumstances, to 27<sup>th</sup> November 2020, when the REF submission period ends). This is a voluntary process.

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. Additional guidance notes for applicants will accompany the form. Category A eligible staff will be notified of the process (Appendix 16: REF 2021 Individual Circumstances Disclosure Form) by individual email from the Academic Lead for REF in October 2019,

Staff are offered the option to discuss their intention to submit for individual staff circumstances before applying with the Academic Lead for REF, their Institute Director(s), the Deputy Principal (Research & Enterprise), or the Diversity and Inclusion Adviser, HR.

All first stage applications for staff disclosing personal circumstances must be submitted by 6<sup>th</sup> January 2020 to ensure due consideration by the time that St George's makes its submission to REF by March 2020. All eligible staff will be asked to complete this form between September 2019 and 6<sup>th</sup> January 2020. Disclosure forms may be submitted and revised after this date.

Individual circumstances forms should be submitted to the Diversity and Inclusion Adviser, HR. This person is independent of the REF Steering.

The Diversity and Inclusion Adviser, HR, will provide necessary information to the REF Steering Executive subgroup. The necessary information will include: staff member, the applicable circumstance(s), and brief statement describing how the circumstances have affected the staff member's ability to produce an eligible output during the submission period or its effect on the

submitting unit overall (data required by REF, see REF Guidance on Submissions paragraphs 192-197).

All requests received will be reviewed by the subgroup of the REF Steering Executive and treated as confidential. This subgroup will include the Deputy Principal (Institutional Affairs) and/or the Associate Dean for Culture, Development and Inclusion and the relevant Research Institute Director. The Diversity and Inclusion Adviser, HR, will attend this meeting.

The relevant Research Institute Director will recommend if the overall output pool for the Unit of Assessment should be adjusted, or if the 'minimum of one' requirement for the individual staff member should be removed, and this will be based on the guidance in the REF Guidance on Submissions, 2019/01, paragraphs 156 – 201 and Appendix L. A summary of information and recommendations will be presented to REF Steering Executive.

The REF Steering Executive will make a decision if a reduction is to be applied at an individual level (removal of the requirements for the minimum of 1 output), unit level reduction or not at all. Decisions will be documented in the minutes and a redacted version of the minutes will be made to protect confidentiality.

The decision by the REF Steering Executive will be communicated in writing to each individual by the Diversity and Inclusion Adviser, HR. Additional support for individuals will be considered by the Diversity and Inclusion Adviser, HR, and the Director HR & OD (member of the REF Steering Executive), who will follow up with each member of staff.

All individual staff circumstances disclosure forms submitted to SGUL will be reported to REF as part of the final submission to REF (27<sup>th</sup> November 2020), without disclosing personal circumstances, irrespective of whether a reduction was applied. Completed individual staff circumstance disclosure forms submitted to SGUL will not be submitted to REF in full.

### **Changes in circumstances**

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31<sup>st</sup> July 2020). If this is the case, then staff should contact the Diversity and Inclusion Adviser, HR to discuss and provide updated information.

## Staff circumstances disclosure form for REF 2021

Completed forms should be submitted to Liz Grand, Diversity and Inclusion Adviser ([lgrand@sgul.ac.uk](mailto:lgrand@sgul.ac.uk)).

**Name:** [Click here to insert text.](#)

**Department:** [Click here to insert text.](#)

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

Yes

No

Please complete this form if you have one or more applicable equality-related circumstance (see above) which you are willing to declare. Please provide requested information in relevant box(es).

Circumstance	Time period affected
<b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b>  <i>Date you became an early career researcher.</i>	<a href="#">Click here to enter a date.</a>
<b>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</b>	Tick here <input type="checkbox"/>
<b>Career break or secondment outside of the HE sector.</b>  <i>Dates and durations in months.</i>	<a href="#">Click here to enter dates and durations.</a>

<p><b>Part-time working</b></p> <p><i>Dates and durations in months. Part-time hours as decimal or percentage of FTE.</i></p>	<p>Click here to enter part-time working hours, dates and durations.</p>
<p><b>Family-related leave;</b></p> <ul style="list-style-type: none"> <li>• statutory maternity leave</li> <li>• statutory adoption leave</li> <li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li> </ul> <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p><b>Disability (including chronic conditions)</b></p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p><b>Mental health condition</b></p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p><b>Physical ill health or injury</b></p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when</i></p>	<p>Click here to enter text.</p>

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

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the Diversity and Inclusion Adviser, HR (who is independent of the REF Steering Executive) and a subgroup of the REF Steering Executive. Information submitted will be treated as confidential. I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

**Name:** Print name here

**Signed:** Sign or initial here

**Date:** Insert date here

I give my permission for the Diversity and Inclusion Adviser, HR to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the details of this form to be passed on to the relevant contact within my Institute.

The aim of sharing this information is to ensure that appropriate support can be put in place for you, if you do not want this information to be shared we may be unable to arrange this support.

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number

## Appendix 17: List of Independent Research Fellowships

### List of independent Research Fellowships

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.

Original document available on the REF website at <https://www.ref.ac.uk/guidance/additional-guidance/>

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* <sup>1</sup>
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 18: Definition of staff circumstances for REF 2021**

### **Summary of staff circumstances and measures to support staff with individual circumstances, extract from REF Guidance on Submissions (2019/01)**

#### **Staff circumstances**

151. 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 this section have been put in place to recognise the effect that individuals' circumstances may have on research productivity.

152. 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).

153. The decoupling of staff and outputs in REF 2021, as summarised in paragraph 152, 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.

154. It is anticipated that the flexibility described above will be reflected in institutions' expectations of individual researchers. Institutions must set out in their code of practice how their output selection process takes into account the circumstances of individual researchers and how appropriate support is provided to affected individuals.

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.

#### **Measures to support staff with individual circumstances**

156. As a key measure to support equality and diversity in research careers, the funding bodies have put in place processes to recognise the effect that an individual's circumstances may have on their productivity. The approach to staff circumstances set out here has been developed by the funding bodies to meet a number of key principles:

- a. Ensure recognition of the effect circumstances can have upon an individual researcher's productivity.
- b. Create the right incentives for HEIs to support staff with circumstances (and avoid introducing negative incentives, for example around recruitment).
- c. Recognise the potential disparity in the available output pool for units in particular contexts, for example where there are high proportions of staff with circumstances, or for very small units.
- d. Maintain the integrity of exercise – both in supporting equality and diversity and ensuring the credibility of assessment process.

157. All HEIs participating in REF 2021 will be required to establish safe and robust processes to enable individuals to declare voluntarily their individual circumstances and have the impact of those circumstances reflected in the HEI's expectations of their contribution to the output pool. These processes must be documented in the institution's code of practice.

158. Where required, submitting units may optionally request a reduction, without penalty, in the total number of outputs required for a submission. It is expected that requests will only be made where the cumulative effect of circumstances has disproportionately affected the unit's potential output pool. The reductions applied should be set out in accordance with the guidance set out below.

159. In addition, 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. Further details are set out in paragraphs 178 to 186. 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.

## Appendix 19: Letter of staff agreement with the Code of Practice

Professor Jenny Higham  
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Medicine, Biomedical Sciences, Health and Social Care Sciences  
Cranmer Terrace, London, SW17 0RE

16 September 2019

Steven Hill  
Director of Research  
Research England  
Nicholson House  
Lime Kiln Close  
Stoke Clifford  
BRISTOL  
BS34 8SR

Dear Steven Hill

### **Research Excellence Framework 2021: Code of Practice assessment outcome**

Following your letter dated 16 August 2019, we write to confirm that the processes established to identify staff with significant responsibility as outlined within our code of practice have been formally agreed with the following staff representative groups;

- Research Institutes and IMBE steering committees
- Lecturer's forum
- Post-doc forum
- PhD Students forum
- The Athena Swan Self-Assessment team
- Professional Services
- Trade Unions
- Staff on Leave (no staff identified during the consultation period)

Staff agreement was obtained on 16 September 2019, recognising that the code of practice and all its processes have been developed in collaboration with the academic staff body, ensuring compliance with the four key Code of Practice principles of transparency, consistency, accountability and inclusivity.

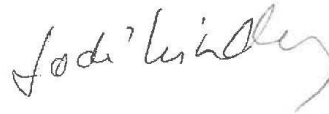
We have received formal confirmation that staff agreement was reached by the representative groups and will retain these for audit purposes. We hope this clarifies however should you have any concerns please don't hesitate to contact us.

Yours sincerely



Professor Jenny Higham

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Professor Jodi Lindsay

Professor of Microbial Pathogenesis and  
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