

# The London School of Economics and Political Science



## School Regulations 2022-2023

[lse.ac.uk/calendar](https://lse.ac.uk/calendar)

# The London School of Economics and Political Science 2022-2023: School Regulations

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# LSE/LSESU STUDENT CHARTER

LSE has a long and rich educational tradition of which all its students and staff can be proud. Since opening its doors to students for the first time in 1895 the School has sought to advance its founding vision of a fairer society through the study and analysis of the social sciences. Now, 34 world leaders, 18 Nobel Prize winners and many thousands of contributions to society later, it welcomes you – one of a new generation of scholars whose intellectual curiosity and socially engaged thinking will help to shape the twenty-first-century world.

This Charter has been written by LSE students and staff with the aim of introducing you to the School community. It sets out how LSE's mission and ethos are reflected in the education you can expect to receive here, and in the diverse, equitable and inclusive community that all students and staff can take pride in, contribute to, and value. It is not a contract and should therefore be read in conjunction with the School's formal policies and procedures, which include details of the institution's and students' obligations and disciplinary sanctions that can apply when they are breached.<sup>1</sup>

### Our mission

LSE was founded in 1895 to create and share knowledge addressing major social challenges and to shape a better world. The School works through research, education, creative intellectual debate and public engagement. Our mission is to advance knowledge in social science and a range of related fields so as to inform public policy, economic decision-making, and social welfare both nationally and globally. This means nurturing creative thought and intellectual exploration and educating students from all backgrounds and around the world to be critical thinkers and skilled professionals who work for the betterment of society.

### Your education<sup>2</sup>

**An LSE education is designed for students who are keen to engage critically with their discipline and real world challenges, and who want to equip themselves, professionally and personally, for the world into which they will graduate. The following principles will enable all students – undergraduate, taught master's and research – to make the most of their LSE education.**

Students receive teaching and supervision underpinned by world-leading research and have opportunities to do applied research either within their degrees or through interdisciplinary projects hosted at and beyond LSE.

Students have access to curricula that seek to reflect the diversity of the discipline they are studying. More broadly, the School is working towards fully reflecting the diversity of the social science disciplines overall among its student body, faculty and professional services staff.

Students are offered high quality advice from academic departments, individually and collectively, and are taught in inclusive learning environments, which facilitate opportunities for everyone to develop knowledge, understanding and skills.

Students have opportunities, through participation in surveys, committees and focus groups, to contribute feedback about their experiences, which will be welcomed and addressed as education at LSE evolves.

Students are encouraged to help build an active, inclusive and respectful learning community by contributing to life at the School, participating fully in lectures, seminars and workshops, and valuing the input of peers and staff.

Students are expected to work to high academic standards and are encouraged to expand their wider intellectual interests, through both in-School and independent routes.

Students are encouraged to contribute to their own learning by taking advantage of opportunities in their department and the wide-ranging support and events on offer across the School – in LSE LIFE, the PhD Academy, the LSE Library and LSE Careers among others - from which they can secure the skills, networks and experiences needed for further studies or employment.<sup>3</sup>

Students are encouraged to identify and communicate any concerns they have in a timely fashion, and to make use of the academic and pastoral support services available at the School.

### Our community

**The LSE community is shaped by its diverse and talented students and staff, its location in a vibrant international city, and its loyalty to an institution whose mission has inspired path-breaking research and a prestigious reputation. We nurture that community through a set of shared understandings.**

Our community values its diverse and international membership. We are committed to providing an inclusive, accessible and safe environment, which supports learning, wellbeing and the pursuit and dissemination of knowledge and ideas.<sup>4</sup>

We expect all members of our community to work and conduct their business peacefully, in a welcoming and truly inclusive environment that promotes freedom of thought and expression in a framework of collegiality and respect for the rights and dignity of others.

Our community is committed to promoting equality of respect and opportunity for students and staff from all backgrounds, regardless of age, sex, disability, race, nationality, ethnic or national origin, gender identity, religion, sexual orientation or personal circumstances; and to upholding the principles expressed in LSE's Ethics Code<sup>5</sup> and UK law.

Our community aims to promote and respect the health and wellbeing of all its members, through a range of dedicated professional services and a supportive working environment.

Our community aims to maximise LSE's opportunities for positive global impacts (through teaching, research and community engagement) while minimising our negative environmental impacts by managing our resources and operations effectively and by respecting the physical environment of the institution and that of our neighbours.

Our community seeks to nurture debate and dialogue, conducted with mutual respect, open-mindedness and consideration for all those involved. We value citizens who contribute and who take up opportunities, both in the School and the wider community, to volunteer, attend events and participate in educational and social activities.

Our community includes the LSE Students' Union<sup>6</sup>, an independent, student-led democratic organisation which focuses on improving the lives of LSE students by providing them with academic, social and welfare support and offering them opportunities to enhance skills through sports clubs, societies and services. Your membership to this organisation is automatic when you become a student at LSE.

### Your future – our future

When you graduate from LSE you become part of a celebrated alumni community whose membership is made up of those making important contributions to governments, communities and businesses. The alumni network spans the globe and provides you with access to almost 100 international and special interest groups, mentoring, careers advice and the thought leadership that LSE is renowned for, no matter where you choose to work or live.

LSE alumni are committed to protecting and sharing the value of an LSE education and to building the strength of our scholarly community for future generations. Whether donating their time, their expertise or by making a financial contribution, alumni continue to support and enhance the LSE experience for the students who come after them.

**Thank you for being part of LSE and for contributing actively and positively to the unique educational experience that inspired our founders: to undertake learning and enquiry for the betterment of society.**

This Charter will be reviewed formally once every three years. There will be more regular opportunities for informal review, and staff and students are encouraged to use it in focus groups, SSLCs and other fora to create an ongoing dialogue about LSE education and the dynamic learning community it aims to foster.

This edition published May 2017

### Footnotes

- <sup>1</sup> See LSE policies: <http://www.lse.ac.uk/intranet/LSEServices/policies/home.aspx> and School Calendar: <http://www.lse.ac.uk/resources/calendar/>
- <sup>2</sup> This section incorporates the Education Covenant referred to in the LSE Education Strategy 2015-2020. The Education Covenant text was drafted collaboratively by LSE staff and the LSE Students' Union in 2016.
- <sup>3</sup> See student channel, LSE website: <http://www.lse.ac.uk/intranet/students/home.aspx>
- <sup>4</sup> See EDI policy statement: <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/polStaEquDiv.pdf>
- <sup>5</sup> See LSE Ethics Code: <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/ethCod.pdf>
- <sup>6</sup> See LSE Students' Union website: <https://www.lsesu.com/>

For latest version and information about, see [info.lse.ac.uk/Staff/Services/Policies-and-procedures](http://info.lse.ac.uk/Staff/Services/Policies-and-procedures) and search by title.

### Review schedule:

Review interval	Next review due by	Next review start
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### Version history:

Version	Date	Approved by	Notes
1	May 2017		

### Links:

Reference	Link
Calendar	<a href="http://www.lse.ac.uk/resources/calendar/">http://www.lse.ac.uk/resources/calendar/</a>
EDI policy	<a href="http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/polStaEquDiv.pdf">http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/polStaEquDiv.pdf</a>
LSE Ethics Code	<a href="http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/ethCod.pdf">http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/ethCod.pdf</a>
LSE Students' Union	<a href="https://www.lsesu.com/">https://www.lsesu.com/</a>
LSE website	<a href="http://www.lse.ac.uk/intranet/students/home.aspx">http://www.lse.ac.uk/intranet/students/home.aspx</a>

### Contacts:

Position	Name	Email	Notes
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### Communications and Training:

Will this document be publicised through Internal Communications? **Yes/ No**

Will training needs arise from this policy **Yes/ No**

If Yes, please give details:

## CONDITIONS OF REGISTRATION AND ENROLMENT – 2022/23

*Last updated: June 2022*

The School regulations relating to your programme are set out in your LSEforYou account and the School Calendar (<http://www.lse.ac.uk/resources/calendar/Default.htm>), together with the Tuition Fee Policy, Credit Management Policy, **Ethics Code**, **Library Rules and General Policies**, **Conditions of Use of IT Facilities**, **Student Complaints Procedure**, **Disciplinary Procedure for Students**, **the Discrimination, Harassment and Bullying Policy** and all other School regulations, policies and procedures. These apply to all students.<sup>1</sup>

Please note that as per paragraph 25 onwards below, the School may make changes to its regulations, rules, codes and conditions after you have accepted your offer of a place. We will notify you of these changes as soon as possible. Your acceptance of the terms and conditions on the Student Verification or Offer Reply Forms bind you to abide by all of these and to the following Conditions of Registration and Enrolment:

1. You agree to your relationship with the School being governed by English Law and to the English Courts having exclusive jurisdiction over any legal matter.
2. You agree to complete your online pre-enrolment prior to Welcome Week and your on-campus enrolment by no later than the published date of late on-campus enrolment for your programme. You must complete both parts of the enrolment process to be a fully registered student<sup>2</sup> and enrolled student<sup>3</sup>; however, at the discretion of the Academic Registrar (or nominee) and subject to your immigration status in the UK, you may in very exceptional circumstances be permitted to fully register online. If you are returning from a break in your studies, you will be expected to campus enrol by the first day of teaching in the term that you are due to return. The School reserves the right to terminate your registration if all relevant documentation is not verified by the end of Michaelmas Term or if at any point it transpires that you have provided incorrect or fraudulent information and/or documentation as part of your application. You may not register or remain registered with the School without the special prior permission of the School, if simultaneously registered for another programme of higher education. In such circumstances the School reserves the right to terminate your registration. Your tuition fees for your period of study will be calculated and charged in line with Section 9 of the School's **Tuition Fee Policy**.
3. Once you have completed on-campus enrolment, you agree to stay in London or within reasonable distance of the School during term time, including Summer Term, and also for any summative assessment periods, for courses on which you are registered, which may fall outside the term dates. This includes but is not limited to on campus examinations in the week preceding Lent Term and in the resit and deferral period (where applicable) and for the duration of the dissertation period for Master's students. Expectations for research degree students are set out in the School's 'Statement on term dates, vacations and working during MPhil/PhD study'. Term dates are published **here**. There may be exceptions to the residence requirement for some Executive Masters programmes, but this will be confirmed as part of the programme information. If you need to be absent from the School during term time, for reasons other than illness, you will first consult your Academic Mentor / supervisor. If you are to be absent for more than two weeks, you agree to inform your academic department in writing before you go. Email notification is acceptable.
4. LSE's campus in London is the primary educational delivery point, and you are expected to arrive on time for the start of your taught programme for in-person teaching for the academic year 2022-23. Research degree students are also expected to be in London for the start of the academic year. Should the health situation in London change, and in line with UK Government policy, LSE would strive to retain as much as possible of its student education provision on campus. However, should the institution be called on to reintroduce a degree of social distancing and or respond to other health contingencies, in the first instance lectures would be delivered partially or fully online with priority given to retaining classes and seminars on campus so that students are able to benefit from the active in-depth learning opportunities and face to face interactions with academics and peers. In the case of more stringent public health measures, all teaching provision and any campus-based assessments would also move to a fully online format based on pedagogic and disciplinary informed choices about the most appropriate combination of synchronous and asynchronous delivery.
5. You agree that if you are absent from the School through illness, you will inform your Academic Mentor / supervisor. If you are absent for more than two weeks, you will send a medical certificate to the Student Services Centre. Absences of longer than three weeks will not be approved. Sickness reporting and management processes for research degree students are set out in regulation 17 of the regulations for research degrees.
6. If you are an international student in the UK with student immigration permission, you must abide by the conditions of your visa as defined by UK Visas and Immigration, including the mode of attendance and the completion of campus enrolment.<sup>4</sup> Requests to transfer to study part-time whilst on a student visa, will only be granted to enrolled students of the School in exceptional circumstances where agreed by the Academic Registrar or PhD Academy Manager.
7. You agree that if you change your permanent home address and / or your term-time address, you will inform the School via your LSEforYou account of your new address details at once.
8. Your status as a Home or Overseas student for fee purposes is determined by the relevant Admissions Office on the basis of information that you have provided. This status cannot normally be changed after you have registered. Registered students who believe they have been incorrectly classified have until 31 October following their first

- registration date to complete and submit a **fee status classification questionnaire** and supporting evidence.
9. Undergraduate students are not allowed to register on a part-time basis unless you have been given permission to partially repeat a year of study.
  10. You agree that you are liable for fees and any associated charges while you are registered at the School, including any fees which a sponsor has agreed to pay on your behalf. This is the case irrespective of your completion of on-campus enrolment. You agree that if you decide to withdraw from, or interrupt your studies, no refund of fees can be made until you have notified the Student Services Centre or the PhD Academy, as appropriate, of your decision in writing. If you withdraw from, or interrupt, your programme, your tuition fees will be calculated and charged in line with Section 9 of the School's **Tuition Fee Policy**.
  11. You agree that if you change your registration status (e.g. move from full-time to part-time study, interrupt your studies or withdraw from your programme), fees will be charged in line with Section 9 of the School's **Tuition Fee Policy**, according to the date on which official permission for the change was given.
  12. You agree that if you register for a programme lasting more than one year, or you interrupt your studies and return to complete them later, the fees charged for subsequent years will be at the rate applicable for that current academic year in question and not at the rate for the academic year in which you first registered.
  13. You agree to pay tuition fees in full or in instalments as arranged with Fees Income & Credit Control. You accept that if you fail to pay tuition fees by the due date, or are in debt to the School for tuition fees the School may apply sanctions that prevent the release of official certification of your academic awards and results and which may affect your progress in line with the **Credit Management Policy**. Academic sanctions will not be applied if you are in debt for any payment to the School other than tuition fees or associated charges.
  14. You accept that:
    - 14.1 LSE collects and processes certain data/information on its students for essential administrative, academic and health and safety reasons, as shown on your enrolment form, Moodle, the School's virtual learning environment and LSEforYou. The **Student Privacy Notice** sets out what and how we process personal data relating to students and applicants. This information is collected for the purpose of managing your contract/registration with the School, to support the School's public task of teaching and learning and where appropriate to ensure compliance with UKVI regulations and procedures. Your data will be treated in strict confidence and is covered by the UK General Data Protection Regulation. In particular, the School will use your personal information for its approved purposes only and will not pass it to unauthorised third parties without your explicit consent unless in the case of an emergency. You will be informed if any of your personal data is being stored in any new systems and is transferred to countries without similar data protection laws. You will also be informed if any data is being processed automatically. For further details, please see the School's **Data Protection Policy**.
    - 14.2 Your data will also be shared with local councils to confirm your student status for the student discount rate for council tax and with the Students' Union.
    - 14.3 If you have any complaints about the way the School has managed your data, you will first contact the School's Data Protection Officer at **glpd.info.rights@lse.ac.uk** and also have the right to contact the Information Commissioner's Office if you are dissatisfied with the School's response.
    - 14.4 You also have the right: to have incorrect information rectified; to have data which is no longer needed by the School erased; to have access to your information; to restrict or object to some processing; and to take your data to another higher education institution.
    - 14.5 Your right to erasure will not apply to data relating to your academic progress up to and including your final degree classification as it is in the public interest that we keep this information. Other records, such as financial support and residences related information we are legally required to report on will also be kept, though destroyed within seven years of creation or when you leave the School, whichever is earlier. For instance, your data will form the basis of records of registered students the School is legally required to provide to the Higher Education Statistical Agency (HESA) as the Designated Data Body for England, which in turn are reported to the Office for Students (OfS). Further details about HESA collection notices relating to staff and students are set out **online**.
    - 14.6 Your final degree classification will be kept permanently. Supporting academic progress data will be kept for the year you leave the School plus 75 years to enable the School to provide transcripts. Examination scripts will be destroyed one year after the relevant Examination Board has met. Other data like contact information will be kept for the purposes of contacting you during your course and afterwards for alumni, fundraising and careers related purposes. You will contact the School's Data Protection Officer **glpd.info.rights@lse.ac.uk** if you do not want to be contacted after you leave the School.
  15. Your LSE email account will be used for a variety of essential communications, including information on payment of your tuition fees. The School will assume that you open, read and act upon these emails.
  16. Teaching sessions (lectures, seminars, workshops etc.), and appropriate assessments, may be recorded by the School and by attending, either in person or online, you give your consent to this recording and assign to the School any performance rights that you may have in relation to your participation in such events. You also agree not to copy, disseminate, download, post, publish, sell, or in any other way use the recording, or any written notes



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based on the lecture content, for any purpose other than your own private study. You must seek the written permission of the School to use a recording for any other purpose than your own private study.

17. On all matters connected with School, University of London and immigration regulations, you should contact the Student Services Centre or the PhD Academy, as appropriate, for guidance. If you are in any doubt about any information provided orally, you should ask for it to be confirmed in writing. In particular, you should always ask for written confirmation of any information relating to your tuition fees.
18. Academic Mentors and research degree students' supervisors (hereafter, 'supervisors') may not be in a position to advise in relation to all School regulations, policies and procedures. As such, you may be required to seek clarification from the Student Services Centre or the PhD Academy, as appropriate, on regulatory issues.
19. You should not expect Academic Mentors, supervisors or other service divisions to pass on to the Student Services Centre or PhD Academy information about your plans or, where applicable, about **exceptional circumstances** relating to your assessment performance. It is your own responsibility to inform the Student Services Centre or PhD Academy, as appropriate, and follow the appropriate procedures within the published deadlines.
20. As a member of LSE's Students' Union, you are also a member of the University of London Union (ULU), which is the union that represents all students studying at a college within the University of London. You agree that the School can pass on your name and LSE email address to ULU for the purpose of registering you to vote in the ULU elections.
21. You agree to conduct yourself in an orderly, responsible, and sober manner and at all times to respect the rights and views of others. Failure to do so is a breach of the Conditions of Registration and an offence under the Student Disciplinary Procedure. The following list is indicative (but not exhaustive) of the type of offences which would constitute misconduct and you agree that you will not:
  - 21.1 engage in any act that will, or is likely to, disrupt teaching, study, research or administrative work of the School;
  - 21.2 fail to comply with the reasonable instructions provided by the School or by any individual or body authorised to act on behalf of the School; for example showing your ID on request;
  - 21.3 Fail to inform the School if you are subject to criminal proceedings; i.e. police investigation and/or court proceedings during your registration at the LSE. You must notify your Head of Department and update them on the outcome of any investigation and/or proceedings;
  - 21.4 cause, or threaten to cause, injury to, or endanger the safety of, a member of the LSE community, including but not limited to, members of staff, student of the School, visitor to it, or other third parties
  - 21.5 engage in dishonest behaviour and/or fraudulent actions, which include submitting incorrect or misleading information to the School;
  - 21.6 engage in any form of conduct or communication, including that on social media, that can reasonably be considered to be bullying or harassment of a member of staff, another student, or any other member of the School community, as it is defined by the School's **Discrimination, Harassment and Bullying Policy** and the **Sexual Harassment and Sexual Violence Policy**;
  - 21.7 engage in any act that will, or is likely to, damage or deface property of the School;
  - 21.8 cause a Health and Safety concern, which includes failure to comply with School or UK government guidance;
  - 21.9 engage in any conduct or communication that will, or is likely to, bring the School into disrepute or unjustifiably harm the reputation of a member of it;
  - 21.10 a) breach one or more of the School's terms or conditions, policies or procedures, or rules and regulations, which includes but is not limited to, these Conditions of Registration, the Discrimination, Harassment and Bullying Policy, the School's Ethics Code and any penalties or measures that have been put in place under the School's disciplinary or any other procedure;  
b) breach your LSE Accommodation Licence Agreement or the School's Student Accommodation Disciplinary Code (for those students who are living in an LSE Hall of residence);
  - 21.11 commit a criminal act which may or may not be punished in a court of law, and/or an alleged breach of discipline, , which occurs on or off any of the premises that the School owns, or in any way administers (including on social media) where the alleged victim is the School itself, a student or member of staff of the School or others, including but not limited to : those visiting, working or studying at the School, and to alleged misconduct occurring during School approved and authorised activities (such as placements or fieldtrips). For the avoidance of doubt, the School may also consider third party allegations made against a student that is raised formally with it and where the School assesses there may be a risk to other members of the LSE community.
  - 21.12 use any of the School's facilities improperly and / or breach the **Conditions of Use of IT Facilities** at the School;
  - 21.13 use the School's name or address in a public statement, or business or other venture, without obtaining the permission of the School;

- 21.14 use any of the School's registered trademarks without seeking permission from a relevant person in the School's central administration;
- 21.15 record a lecture, meeting or other LSE event, or use such a recording, without the permission of the lecturer or person or group who organised the event. For the avoidance of doubt, the notes taken of lectures, meetings and LSE events can only be used for educational purposes and cannot be shared with a third party without the consent of the lecturer, meeting organiser or other LSE event organiser.
- 21.16 breach the Data Protection Act 2018, UKGDPR or the General Data Protection Regulation;
- 21.17 breach the conditions of your student visa
- 22. The School considers academic integrity to be of the utmost importance. You agree that you will follow all exam procedures and that all your assessed coursework (essays, projects, field reports, literature reviews, dissertations etc.) will be your own work, i.e. work originally created by you during and for the purpose of your programme and may be analysed by text matching software<sup>5</sup>. Theses submitted for research degree examinations will be submitted to iThenticate.
- 23. You accept that while any assessment offence allegation made against you remains outstanding, the School may withhold official certification about your progress at the School, information about your results and any academic award made to you.
- 24. The School will have the power to terminate your registration if any of the following conditions apply:
  - 24.1 you complete your programme of study for which you were registered;
  - 24.2 you voluntarily withdraw from your programme for which you were registered;
  - 24.3 you fail to satisfy the academic requirements for your programme, including but not limited to failing to meet completion or progression criteria, lack of industry<sup>6</sup> or failing to enter for an element of assessment after completing the normal course;
  - 24.4 you fail to satisfy the requirements for registration, re-registration or campus enrolment;
  - 24.5 you fail to achieve an award within the maximum period of registration;
  - 24.6 you are expelled under the Disciplinary Procedure for Students or the **Assessment Misconduct Regulations**;
  - 24.7 any other good academic cause;
  - 24.8 you fail to pay all tuition fees and charges due to the School or to have provided guarantees of such payment satisfactory to the School.

### **Changes to Regulations, Conditions, Policies and Procedures**

- 25. Regulations that are common to all students and by which the School regulates its community may be changed from time to time. Such changes will usually be brought into effect at the start of the academic year and the changes will be published as part of the School's Calendar prior to the start of the academic year. However, the School may make changes to such regulations during the academic year to address unanticipated circumstances that affect the quality, standards or the delivery of a programme or to comply with a recommendation, direction or order made by a court, the Office for Students (OfS), the Quality Assurance Agency for Higher Education (QAA), the Office of the Independent Adjudicator for Higher Education (OIA) or other external regulatory, validating or accrediting body. In this case such changes will be notified to the students by email as well as being published on the School's website.
- 26. The School will use its best endeavours to bring such changes into effect at the start of the academic year; however it may change such regulations with respect to continuing students (that is students who have already registered as students of the School at the time of the proposed change) where the changes are:
  - 26.1 Non-material; and/or
  - 26.2 Beneficial to students; and/or
  - 26.3 Reasonably required to address unanticipated circumstances that affect the quality, standards or the delivery of a course; and/or
  - 26.4 Reasonably required to comply with a recommendation, direction or order made by a court, the OfS, the QAA, the OIA or other external regulatory, validating or accrediting body; and/or
  - 26.5 Reasonably required to comply with the School's legal obligations (including but not limited to health and safety law obligations and equality law obligations); and/or
  - 26.6 Required as a result of circumstances outside the School's control; or
  - 26.7 The majority of affected students have, directly or via their representatives, agreed to the change.
- 27. Where the School relies on 25.1 to 25.7, it shall endeavour to provide reasonable notice in advance of any such changes and such changes will be notified to the students by email as well as being published on the School's website
- 28. Where it is not reasonably practicable to apply previous versions of regulations to part-time students or students who will not complete within the usual period for the specific programme or course (including where a student has had a break from studies) then due to the potential length of the period of registration until they complete their programme, the School may make changes to such regulations. Such changes will usually be brought into



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effect at the start of the academic year and the changes will be notified to the students by email as well as being published as part of the School's Calendar.

29. The School may make alterations to programmes and/or courses where the changes are:
- 29.1 Non-material; and/or
  - 29.2 Beneficial to students; and/or
  - 29.3 Reasonably required to address unanticipated circumstances that affect the quality, standards or the delivery of a course; and/or
  - 29.4 Reasonably required to comply with a recommendation, direction or order made by a court, the OfS, the QAA, the OIA or other external regulatory, validating or accrediting body; and/or
  - 29.5 Reasonably required to comply with the School's legal obligations (including but not limited health and safety obligations and equality obligations); and/or
  - 29.6 Required as a result of circumstances outside the School's control; or
  - 29.7 The majority of affected students have, directly or via their representatives, agreed to the change.
30. Sometimes circumstances may arise that are beyond the control of the School and require changes to the content and/or structure, and/or location and/or delivery mode of a course. Examples of such circumstances include but are not limited to:
- 30.1 industrial action by School staff or third parties;
  - 30.2 the unanticipated absence of key members of School staff,
  - 30.3 acts of terrorism;
  - 30.4 damage or interruption to buildings, facilities or equipment;
  - 30.5 epidemic, pandemic or other health and safety issue;
  - 30.6 severe weather conditions;
  - 30.7 the acts of any governmental or local authority;
  - 30.8 where the numbers recruited to a course are so low that it is not possible to deliver an appropriate quality of education for students enrolled on it.
31. In these circumstances, the School will provide as much notice as is reasonably possible and take all reasonable steps to minimise the inconvenience and disruption by, for example, changing the delivery, location or schedule of a module. To the fullest extent possible under English law, the School excludes liability for any loss and/or damage suffered by any applicant or student as a result of such circumstances..

### Footnotes

- <sup>1</sup> In this document, references to 'research degree students' refer to (i) MRes/PhD students who have passed the upgrade process, and are undertaking the PhD stage of their programme, and (ii) MPhil/PhD students at all stages of their programme.
- <sup>2</sup> A registered student has entered into a contractual agreement with LSE indicating that they unconditionally agree to the Conditions of Registration and Enrolment to study an approved programme and has provided proof of qualifications and any other document(s) required as part of the registration process. A student remains registered until they have: completed their programme and the appropriate award has been conferred, officially withdrawn, or had their registration terminated by the School. A student who has interrupted their studies, remains registered.
- <sup>3</sup> An enrolled student has completed the formal School joining process, can select approved courses for their programme, gains access to course materials and other School services, and becomes liable for full fees.
- <sup>4</sup> Research degree students must also maintain an accurate and up to date record of their supervisory interactions via the PhD Log.
- <sup>5</sup> Copies of all papers submitted to the software will be retained as source documents in the iParadigms reference database (held in the US) solely for the purpose of text matching against future submissions. Use of the Turnitin UK service shall be subject to such Terms and Conditions of Use as may be agreed between iParadigms and LSE from time to time and posted on the Turnitin UK website.
- <sup>6</sup> For research degree students, 'lack of industry' includes persistent failure to engage with supervision.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

# ETHICS CODE

*Updated 2021/22.*

The Ethics Code is a set of six core principles underpinning life at LSE. All members of the LSE community, including students, staff and governors, are expected to behave in line with the Ethics Code principles.

The Code sets out how the School upholds the commitments and details the policies which support this. The purpose of the Code is also to explain what each of the principles mean and how they should be applied in practice by members of the LSE community.

Our **student animation** is designed to explore the Ethics Code in relation to the experience of students here at the School.

We also have a **One Minute Guide to Ethics** at the School with key information and links.

The whole LSE community, including all staff, students, and members of court, are expected to act to the highest standards of ethical integrity in accordance with the ethical principles set out in this Code:

- Responsibility and Accountability
- Integrity
- Intellectual Freedom
- Equality of Respect and Opportunity
- Collegiality
- Sustainability

Council, Academic Board, their subsidiary committees, and the management of the School are responsible for the promotion, implementation, and application of the Code.

## Ethical Guidelines

It is impossible to devise a single set of rules to resolve every ethical dilemma which members of the LSE community may face. Instead, the principles in the Ethics Code should guide the exercise of judgement in individual cases. The following guidelines provide further information on how each principle should apply in practice, and lists some of the policies and procedures which can be referred to address ethical issues.

## Decision making step-by-step

Three simple steps should be followed to identify and resolve the ethical implications of individual decisions and actions:

- 1) Consider whether what you plan to do is compatible with the principles in the Ethics Code. Further guidance is often available from existing policies, listed here.
- 2) Ask yourself how you would explain your actions if you had to justify them to close friends and family, or if they were on the front page of a newspaper. What would be the impact on your reputation, or that of the School? How would you feel about asking someone else to do what you are proposing to do?
- 3) Seek advice from an appropriate person, such as a colleague or line manager, or one of the School committees tasked with handling ethical matters. Specific committees handle research ethics (Research Ethics Committee) and the ethics of receiving external grants and donations (Ethics (Grants and Donations) Panel), while the Ethics Committee will consider dilemmas of particular difficulty where principles may conflict.

Where possible, keep a record of your decision making and the rationale behind it.

For further information please contact: [ethics@lse.ac.uk](mailto:ethics@lse.ac.uk) or call 020 7955 7975 Links to all the documents listed are available online: [lse.ac.uk/ethicscode](https://lse.ac.uk/ethicscode).

## The Principles

The principles set out in this Code should be taken into account when making decisions at all levels of the School.

### Principle 1: Responsibility and Accountability

In order to uphold our commitment to responsibility and accountability, we will:

- 1.1. Embed the principle of individual responsibility at every level of the School's management and governance structures.
- 1.2. Raise concerns relating to ethical matters as they arise.

### Principle 2: Integrity

In order to uphold our commitment to integrity, we will:

- 2.1. Be honest and truthful.
- 2.2. Act in accordance with all relevant legislation and statutory requirements.
- 2.3. Declare interests and appropriately manage possible conflicts.
- 2.4. Be transparent and consistent in our decision making.
- 2.5. Maintain our independence in engaging with outside parties.
- 2.6. Conduct fundraising activities in line with the principles set out in the Ethics Code.

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### **Principle 3: Intellectual Freedom**

In order to uphold our commitment to intellectual freedom, we will:

- 3.1. Protect individuals' freedom of expression.
- 3.2. Uphold the freedom to research and convey research findings.

### **Principle 4: Equality of Respect and Opportunity**

In order to uphold our commitment to advancing equality of respect and opportunity, we will treat all people with (equal) dignity and respect and ensure that no person will be treated less favourably because of their role at the School, age, disability, gender (including gender identity), ethnicity and race, religion or belief, sexual orientation, marriage and civil partnership, pregnancy and maternity and social and economic background.

### **Principle 5: Collegiality**

In order to uphold our commitment to collegiality, we will promote within the School an inclusive and participatory working and social environment in which we encourage, support and behave appropriately to one another.

### **Principle 6: Sustainability**

In order to uphold our commitment to sustainability, we will:

- 6.1 Education - Embed sustainability in our teaching and learning experiences.
- 6.2 Research - Shape the global sustainability debate through our research.
- 6.3 Engagement and Leadership - Deepen public discussion on sustainability across the world.
- 6.4 Investment - Make sustainability a key part of our investment decisions.
- 6.5 Collaboration - Work in partnership within LSE and externally.
- 6.6 Our School - Become net-zero carbon and reduce our environmental impacts.

# CODE OF GOOD PRACTICE FOR UNDERGRADUATE, DIPLOMA AND POSTGRADUATE PROGRAMMES: TEACHING, LEARNING AND ASSESSMENT

*This Code of Practice is approved by the Education Committee.*

*Last updated: August 2021*

## Introduction

This Code sets out general School practices for all undergraduate, diploma and graduate programmes. It sets out basic reciprocal obligations and responsibilities of staff and students. It should be read in conjunction with the **Academic Code**, all other School policies, regulations, codes of practice and procedures as set out in the School's on-line **Calendar**. The expectation is that all programmes will meet the standards set out in the paragraphs below. While the **Academic Code** sets out headline minimum standards, this Code explains in more detail the responsibilities that both students and staff together have in producing the learning experience on LSE taught programmes. It informs students of what they may reasonably expect and informs departments of what they are expected to provide. Each department will publish a detailed statement of its provision under this Code in its handbook and on its departmental website. These statements will provide a basis for monitoring the academic activity of departments through the School's quality assurance processes.

## Academic Advice

- 1.1 On joining the School each student is allocated a member of the academic staff in their department as an Academic Mentor.
- 1.2 Each department sets out in the relevant handbook its own detailed guidelines regarding the role of the Academic Mentor. School guidance for students is available on the **Academic Mentoring Portal**. Among those responsibilities that an Academic Mentor is normally expected to carry out are:
  - To provide academic guidance and feedback on the students' progress and performance and to discuss any academic problems they might experience.
  - To provide pastoral support on non-academic issues and to refer students, as necessary, to the appropriate support services within the School.
  - To implement the provisions outlined in **My Adjustments** for students with long-term medical conditions, specific learning differences and/or disabilities in liaison with the School's **Disability and Wellbeing Service**.
  - To maintain regular contact with students on academic and pastoral issues through direct one-to-one meetings and other means of communication, such as emails. The number and nature of meetings may vary between departments and programmes as detailed in the relevant handbook, although students will be invited to meet their Academic Mentor at least twice during each of the Michaelmas and Lent terms.
  - To agree students' course choices via LSEforYou.
  - To comment on and provide a general assessment of students' progress on their termly class reports via LSEforYou.
  - To inform the Departmental Tutor or Programme Director and School of any students whose attendance and progress is not satisfactory.
- 1.3 Each Mentor must have a good working knowledge of the structure and regulations of degree programmes in the department.
- 1.4 Each Mentor must have a good working knowledge of the various academic and pastoral support services within the School. School guidance for staff is available on the **Academic Mentoring Portal**.
- 1.5 Each Mentor must publicise regular periods of time when they are available to meet with their students.
- 1.6 If the relationship between a Mentor and student is unsatisfactory, the department must have in place an appropriate process for arranging a change of Mentor.
- 1.7 For undergraduate students only; each department has a Departmental Tutor who will be responsible for:
  - Providing departmental orientation programmes for new and continuing students.
  - Monitoring the academic and pastoral care provided by members of their department, including the provision of reasonable adjustments for students with disabilities.
  - Arranging regular termly meetings of a Staff-Student Liaison Committee and the nomination of a representative to the School's Undergraduate Students' Consultative Forum.
  - Providing a direct channel of communication between the School and any student who is encountering academic or pastoral difficulties.
  - Authorising, where appropriate, a student's request for course choice outside the degree regulations.
  - Authorising, where appropriate, a student's request for a degree transfer.
- 1.8 For diploma and graduate students; each department has a Programme Director who will be responsible for:

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- Authorising, where appropriate, a student's request for course choice outside the degree regulations.
- Authorising, where appropriate, a student's request for a degree transfer.

### Teaching

- 2.1 The detailed requirements of each programme and course are provided in the online **Calendar** in the relevant handbook and on departmental web pages. Students must complete all course requirements as specified in their degree regulations.
- 2.2 Teaching will predominantly be a combination of lectures and classes or seminars. The teaching method used will largely be determined by the size of the programme and the nature of the subject covered in a particular course. Teaching can be delivered synchronously in person or online, or asynchronously through recorded content, and will often include other teaching and learning activities.
- 2.3 Lectures are an important part of the teaching and learning experience. The structure and content of each course are set out in the online Course Guide. Lecturers must ensure that their teaching is consistent with this information.
- 2.4 Lecturers are responsible for organising the classes (UG) or seminars (PG) for their courses, for liaising with class or seminar teachers to ensure that the classes or seminars are properly coordinated with their lectures, and for submitting course reading lists to the Library in good time for required books to be purchased.
- 2.5 For undergraduate students, classes are a compulsory part of the teaching and learning experience. Class sizes should not normally exceed 15 students, although for some teaching methods larger group sizes may be used.
- 2.6 For postgraduate students, seminars are the core of the teaching and learning experience. The nature and format of seminars may vary depending on the subject material of the course and will be detailed in the course syllabus. Seminar sizes should not normally exceed 15 students, although for some teaching methods larger group sizes may be used.
- 2.7 Classes or seminars will normally give students the opportunity to participate in a discussion of material relevant to the course. The nature and format of these discussions will vary according to the subject matter of the course.
- 2.8 Lectures, seminars and classes normally start at five minutes past the hour and end at five minutes to the hour, although the duration and start/end times of some teaching sessions can differ and students should refer to their personal timetable for information. Staff and students should make every effort to start and finish on time.
- 2.9 Formative coursework is an essential part of the teaching and learning experience at the School. It should be introduced at an early stage of a course and normally before the submission of assessed coursework. Students will normally be given the opportunity to produce essays, problem sets or other forms of written work. The number of these pieces of work for each course will be detailed in the online Course Guide.
- 2.10 Individual departmental Assessment and Feedback Statements are the definitive source of information about departmental feedback practices. The practices set out in departmental statements are underpinned by the School-level feedback rules at paragraphs 2.11 and 2.14, below. These rules are de facto minimum feedback requirements. Departmental practices will be at or above this minimum threshold.
- 2.11 Feedback on coursework is an essential part of the teaching and learning experience at the School. Class or seminar teachers must mark **formative** coursework and return it with feedback to students normally within three term weeks of submission deadline (when the work is submitted on time). Class or seminar teachers must record the marks, or the failure to submit coursework, regularly via LSEforYou. Students will also receive feedback on any **summative** coursework and on examinations they are required to complete as part of the assessment for individual courses. Individual departments will determine the format of feedback on summative coursework, which can include provisional marks that have been both internally and externally moderated. See the **Academic Code** for more detail on summative feedback times.
- 2.12 Students who are required to resit an assessment will be provided with appropriate and timely feedback before re-taking the assessment.
- 2.13 Provisional marks will be made available to students via LSEforYou. Departments will not provide documentation to students confirming provisional marks for any form of assessment. At the request of the student, departments may provide provisional marks to third parties such as employers or other Higher Education institutions only using the template document produced by the Academic Registrar's Division.
- 2.14 Some programmes require students to submit dissertations. Students will receive preliminary feedback on a draft chapter, section or detailed plan of their dissertations that they submit in good time prior to the final submission deadline. Individual departmental handbooks will set out the details of the dissertation process, including the deadline by which draft chapters, sections or detailed plans must be submitted to be eligible for feedback. A mark will not be included in this feedback.
- 2.15 12-month MSc students who complete dissertations within the final year of their studies, will receive feedback within 4 weeks of receiving their final dissertation results. Final year 9/10 month MSc students and undergraduate students who complete dissertations will receive feedback within 4 weeks of the following term from when the dissertation was submitted e.g. where a dissertation is submitted in the Summer Term, students will receive feedback within four weeks of the start of following Michaelmas Term.

- 2.16 Class or seminar teachers must record student attendance on a weekly basis via LSEforYou.
- 2.17 Class or seminar reports are an integral part of the School's monitoring system on the academic progress of its students. Class or seminar teachers must complete, via LSEforYou, full and accurate reports, including a general assessment of each student's progress, at the end of the Michaelmas and Lent Terms.
- 2.18 All full-time members of staff and part-time and occasional teachers must have regular weekly office hours during term time when they are available to students to discuss issues relating to the courses they are teaching. These office hours should be clearly publicised to students.

### Responsibilities of the student

- 3.1 Students are required to attend the School for the full duration of each term. Students who wish to be away for good reason in term time must first obtain the consent of their Mentor. Students away through illness must inform their Mentor and their class or seminar teachers and, where the absence is for more than two weeks, the Student Services Centre.
- 3.2 Students with disabilities which might impact on their studies should contact an adviser in the **Disability and Wellbeing Service** in good time to negotiate reasonable adjustments. These will be set out in their **My Adjustments**. If the School is not informed about a disability in good time, it may not be able to make the appropriate reasonable adjustments.
- 3.3 Students must maintain regular contact with their Academic Mentor to discuss relevant academic and pastoral care issues affecting their course of study. These should include:
  - Guidance about course choice.
  - Discussion of academic progress based on termly class reports.
  - Guidance or discussion about long essay/project/dissertation.
- 3.4 These discussions should take place through direct one-to-one meetings and other means of communication, such as emails. The number and nature of meetings may vary between departments and programmes as detailed in the relevant handbook, although students will be invited to meet their Academic Mentor at least twice during each of the Michaelmas and Lent terms. Students should be able to meet their Mentor within the first week of term time, i.e. either during regular office hours or at a mutually convenient time.
- 3.5 **Attendance at classes and seminars** is compulsory and is recorded on LSEforYou. Any student who is absent on two consecutive occasions or is regularly absent without good reason will be automatically reported to their academic Mentor.
- 3.6 Students must submit all required coursework on time, whether it is summative coursework (i.e. work that counts towards the final mark) or formative work (that does not count towards the final mark).
- 3.7 Permission to sit an examination may be withdrawn from students who regularly miss classes and/or do not complete required course work.
- 3.8 Students must ensure the accuracy of the information regarding their programme of study, including their class schedule, course choice, class attendance, personal exam timetable and submission of coursework, contained in their personal LSEforYou account. Failure to report inaccuracies to the Student Services Centre, particularly in the case of course choice, may result in a student being required to take the assessment(s) in the course(s) for which they were originally registered.
- 3.9 Students must communicate changes of term time and home addresses to the Student Services Centre via LSEforYou as soon as they occur.
- 3.10 As well as the likelihood of taking action through the Courts, the School may impose relevant penalties for any outstanding debt that students fail to clear by any specified deadlines. For example, the School will normally withhold a student's academic transcript and/or certificate if they failed to pay their academic fees.
- 3.11 Students who decide to interrupt their studies or withdraw from the School must inform their Academic Mentor and the Student Services Centre in writing. Failure to inform the School could result in a demand for fee payment for the full session.
- 3.12 The School's aim, where possible, is to support our students to remain on their programme of study. However, the School's **fitness to study policy** recognises that in some cases this might not be possible. Some students may need to take a break from their studies (**interrupt**), may need to delay taking their assessments (**defer** or **extension**), or in more serious cases, may need to leave the School completely (**withdraw**).

### Examination and Assessment

- 4.1 All departments must publish assessment criteria. Statements of assessment criteria are descriptors of what a department expects from students, which distinguish between different grades. Where expectations are similar across different forms of assessment it may be sufficient to have a single set of criteria; where expectations are very different for different pieces of work, then different sets of criteria may be necessary. Within each programme, the Chair of the Sub-Board of Examiners is responsible for ensuring the publication of assessment criteria in-line with this requirement.
- 4.2 Students must complete all components of assessed work for each course. Methods of examination and



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assessment for each course are set out in the on-line Course Guide. All work submitted must be the student's own. In submitting course work, students must abide with the School's policy on plagiarism as set out in the School's **Regulations on Assessment Offences** and the **Statement on Editorial Help**.

- 4.3 Students must be given clear advance warning of any new or approved changes to assessment format.
- 4.4 When the content of a course changes to the extent that previous examination papers may not be a reliable guide to future papers, lecturers should advise students and produce sample questions for the new parts of the course. When the course is new and, there are no previous papers, a full sample paper should be produced. Where it is not possible to replicate the first format of assessment at resit e.g. a group project, an alternative method of assessment can be set. Students will be notified of any alternative method of assessment in good time prior to re-assessment.
- 4.5 Any student who requires central examination adjustments (CEAs) must contact an advisor in the **Disability and Wellbeing Service** so that reasonable adjustments can be recommended. Applications for CEAs should normally be made by the published deadline given by the Disability and Wellbeing Service. Students should check the Disability and Wellbeing Service webpage for further details.
- 4.6 When a student submits an assessment, the School considers they are fit enough to do so. Therefore, any student experiencing exceptional (mitigating) circumstances in the period preceding an assessment should consult with their Academic Mentor about the deferral or extension policy. Where a student experiences exceptional circumstances during an exam or assessment period they must inform the Student Services Centre with all relevant supporting documentation, in accordance with the **Standards of Evidence Policy** and deadlines as set out on the **exceptional circumstances webpage**.

### Notes

For the purposes of this Code, the term 'department' comprises both departments and institutes.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

# GENERAL ACADEMIC REGULATIONS

(For all undergraduate students registered in the 2022/23 academic year)

*These regulations are approved by the Academic Board.*

*Last updated: July 2022*

## General

- These Regulations apply to all persons having registered for an Undergraduate course or programme of study at the School and should be read in conjunction with the **Conditions of Registration and Enrolment 2022/23**. Postgraduate students have their own set of **General Academic Regulations**. These regulations are made subject to the Articles of Association of the School and to the School bye-laws, where appropriate. Any disputes arising from the application of the Regulations shall be governed by the Laws of England currently in force.

- In these regulations the following terms shall have the meanings given:

<b>Assessment</b>	An assessed component of a course such as an examination, essay, dissertation, project, presentation etc. which counts towards the award of a degree, also referred to elsewhere as summative assessment;
<b>Course</b>	A distinct part of a programme comprising lectures, classes, seminars, workshops and / or other learning activities;
<b>Degree regulations</b>	The Regulations for First Degrees and their associated classification schemes, as appropriate;
<b>Qualification Programme</b>	An academic award such as a First Degree; A whole programme of study, comprising courses, whether or not it is intended that it should lead to an award of the School;
<b>Resit</b>	In the context of assessment, an attempt at a failed assessment other than the first attempt, such as an examination resit or resubmission of a piece of written coursework;
<b>School Sitting</b>	The London School of Economics and Political Science; Entering an exam room to attempt an examination or attempting any other form of assessment (e.g. submitting coursework);
<b>Student</b>	A person registered as a student of the School under these Regulations;
<b>Unredeemed fail</b>	A failed course that is not passed (or redeemed) at resit

- Communications the School sends to an individual student will apply to that student only.

## Admission

- An applicant for admission shall be required to:
  - satisfy, or to be formally exempted by the School from, the entry requirements prescribed for the programme concerned, and
  - apply through the prescribed procedure and to comply with subsequent administrative requirements.
- The School may offer a place to an applicant on the programme applied for or on any other programme, or reject the application. An offer of a place may be conditional on the applicant obtaining a particular set of qualifications, either at pass level or at particular levels of pass, before a date determined by the School.
- Competence in the English language is required of all applicants. The School will determine the level of competence required of each applicant and may make its achievement a condition of admission.
- The School may from time to time determine the age or ages below which it will not admit students or will not admit them without special consideration.

## Registration

- As per the **Conditions of Registration and Enrolment** a person who has not completed both pre-enrolment and on-campus enrolment is considered not registered or enrolled at the School and shall not be entitled to take part in any activity in the School as a student. A person who is not enrolled as a student may not receive teaching at the School.
- The Academic Registrar or their designated deputy may require any relevant documentation to be produced for inspection to establish the personal details and educational attainment of a person seeking registration and enrolment.
- A student is required to enrol annually during the programme of study, according to procedures determined by the Academic Registrar or their designated deputy. The requirements for enrolment beyond initial registration and enrolment are as follows:
  - to have satisfied the academic requirements for progression from the previous year of study or to have been granted repeat teaching, and
  - to have completed all forms and / or provided all information required by the School as part of the re-enrolment process, and

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- 10.3 to have paid all fees and charges due to the School or to have provided guarantees of such payment satisfactory to the School, and
- 10.4 not to have been barred from further registration or enrolment at the time concerned by application of these or other Regulations.
11. Students are entitled to take part in all prescribed learning activities and to use all relevant services of the School for the period of their enrolment.
12. On full completion of on-campus pre-enrolment and on-campus enrolment a School representative shall provide the student with an ID card. Any member of staff of the School may require production of this card at any time to establish entitlement to enter the School or to take part in its activities. A replacement may be obtained for a lost or damaged card, on payment of a fee to be determined by the Academic Registrar or their designated deputy.
13. Registration may be withdrawn at any time under these and other Regulations. After withdrawal a student is no longer entitled without special permission to use any facilities or services of the School or to receive any teaching or to be assessed.
14. An undergraduate programme leading to a degree normally extends over three or four consecutive academic years, as set out in the programme regulations. The normal maximum period for completing a three year degree is five years from the initial date of registration. The normal maximum period for completing a four year degree is six years from the initial date of registration. Failure to achieve an award within the maximum period of registration allowed will result in deregistration.
15. A student may not register or remain registered, without the special permission of the School, if simultaneously registered for another programme of higher education. In such circumstances the School reserves the right to terminate their registration.

### Programme Interruptions

16. The School may at its discretion permit a student to interrupt their studies on grounds of illness or other relevant cause for a period of up to one year. In very exceptional circumstances, the School may permit a further interruption of up to one year. Requests to interrupt are usually only authorised on submission of evidence of exceptional circumstances. Guidance on requesting interruptions and responsibility for approval is published on the Student Services Centre website <https://info.lse.ac.uk/current-students/student-services/student-services-centre>

### Programme Transfers and Variations

17. The offer of admission and acceptance of a place applies to the specific degree programme that is named in the offer letter. The School will not allow a successful applicant to transfer from one programme to another after registration, unless it considers that exceptional circumstances apply. Such permission will be given only on the recommendation of the directors for the student's current programme and for the programme into which they wish to transfer.
18. The regulations for the programme upon which the student has registered determine the courses of study available to them. This includes courses determined as compulsory and non-compulsory option courses.
19. A student may only change the courses for which they have initially registered within the published timeframe in each of the Michaelmas and Lent Terms. The School will not permit a student who has attended teaching during MT to drop MT half unit course(s) or full unit courses for which they have received teaching in the MT during a LT course change period.

### Boards of Examiners

20. The School will establish a School Board of Examiners for undergraduate programmes. Each programme and course will be the responsibility of a departmental Sub-Board of Examiners which will report to the School Board. The Law Board of Examiners uniquely serves as both a Sub-Board and School Board for students studying on LLB and related degrees.
21. Each Sub-Board of Examiners shall include examiners who are not members of staff of the School, who shall have regard to the totality of each programme.
22. Assessment procedures shall ensure that assessment is and can be demonstrated to be fair and impartial.
23. Each Board of Examiners shall ensure inter alia that the application of approved classification schemes shall have regard to the totality of the programme and to the requirements for progression within it, and to the requirement for each student to achieve a satisfactory overall standard.

### Assessment

24. By registering with the School a student agrees to be entered for assessment on the courses they are taking, at the time and place set by the School and by the methods prescribed in the relevant degree and programme regulations and in the School Calendar Course Guides.
25. A student is required to engage with their studies by attending classes, seminars, workshops, supervision sessions or other prescribed learning activities and producing promptly the work required. Dereliction, such as not attending classes/seminars or repeated failure to complete formative work or required summative assessment,

will result first in a warning, and if continued will result in exclusion from future assessment or from the School as appropriate.

26. A student will be assessed in each course, unless they have deferred or withdrawn under these Regulations.
27. Students are bound by the regulations in force at the time of their first entry to the examination or other assessment, including the individual programme regulations.
28. The method(s) of assessment for each taught course and the weighting of each method of assessment will be specified in the Course Guides.
29. The School may when required and with reference to appropriate School policies e.g. the Alternative Assessment Policy permit a variation of the method(s) of assessment for a course, in respect of some or all students. In cases where students need to resit non-repeatable assessment tasks, an appropriate alternative task will be set.
30. No fee is payable for the first attempt at an assessment.
31. Examinations take place in the week preceding the Lent Term, the Summer Term and during the In-Year Resit and Deferred Assessment Period (IRDAP) in late summer. Students are required to be in attendance at the School for the duration of the periods in which their examinations take place and to be available until the end of the Summer Term.
32. All work submitted must be certified to be the student's own, and must comply with the School's **Statement on Editorial Help for Students' Written Work**, and with the School's **Regulations on Assessment Offences**.
33. A student will not be re-assessed in any course or assessment in which they have already received a pass mark. The only exceptions are First Year LLB students who fail to meet the compensation rules and/or receive a Bad Fail mark.
34. A student will not normally be re-assessed in any course or assessment they have failed if they are eligible for the award of the degree.
35. Students who complete and fail a course overall, but are not eligible for an award and have attempts remaining will be required to resit all failed assessments in that failed course. Where a student is required to resit a failed assessment, the pass mark(s) achieved in other passed assessments of that course shall count towards the new overall course mark, but the overall course grade will be capped at the pass mark of 40. A maximum mark of 40 will be used for calculating either the first year average if applicable, or the aggregate if required where the resit is a second, third or fourth year classification mark.
36. Students must attempt all components of assessment in every course, such as sitting an examination or submitting a piece of coursework, in order to be eligible for the award of a degree. Failure to do so will result in a mark of 'Zero Absent' in the assessment in question and the course overall if that assessment is worth 100% of the course; or, 'Zero Incomplete' in the course overall if the assessment is worth less than 100% of the course. In either case the student must resit that failed assessment, provided they have attempts remaining and irrespective of the results of other assessments within the same course. In such cases where a student is required to resit, the new overall course grade will be capped at the pass mark of 40.
37. Students may receive a Zero Fail mark for one or more assessments as a result of academic failure, academic misconduct, late submission or exceeding the word count etc. Such students will be expected to resubmit the failed if the overall mark for the course is a Fail, they have attempts remaining and the student is not otherwise eligible for an award. The resit shall take place according to paragraphs 48-50. Students are not permitted to resit passed assessments; these marks are banked and used to calculate the new overall course mark.
38. Where such a student no longer has attempts at the assessment remaining or is in their final year, the School will consider them as having completed that assessment for the purposes of being eligible for the award of a degree. In either instance, a Zero Fail mark will be recorded and normally no further attempt permitted.
39. First and second year students taking a three year programme, or first, second and third year students taking a four year programme, who, at the first attempt fail an assessment but have deferred other assessments within the same course may choose to resit the failed assessment(s) at the same time they attempt the deferred assessment(s). Final year students must take the resit and deferred assessments together and cannot opt out of attempting the resit at the same time as the deferred assessment.
40. This will allow a student to attempt the resit at the earliest opportunity but normal capping rules will apply as set out in Paragraphs 35 and 54.
41. Where eligible, a student that opts out of resitting the failed assessment(s) at the same time they attempt the deferred assessment(s) and subsequently receives an overall fail mark in that course may be allowed to resit all failed assessments at the next opportunity provided they still have attempts remaining.
42. A student who completes a programme at the School and subsequently registers on to a new programme cannot retake as part of the requirements for the new programme any course which they have already passed during their time at the School.
43. Any marks awarded for a previous programme of study for which an award has been made cannot count towards any further programmes of study taken at the School.

## 18 School Regulations

### Adjustments to Assessment, Deferrals and Exceptional Circumstances

44. The School shall establish a procedure for determining reasonable adjustments to assessment for students with a disability, chronic medical condition or who experience an acute illness or injury during an assessment period.
45. Examiners / markers shall assess work without referring to medical and / or exceptional circumstances, unless they receive written instructions from the Student Services Centre to do so.
46. All students are required to sit examinations in London in accordance with the examination timetables which are published prior to each examination period. By submitting an assessment or attending an examination, the School considers the student to be declaring themselves fit to sit. If a student experiences disruption to their studies prior to this point from personal difficulties e.g. bereavement or illness, they should consider whether an extension or deferral is more appropriate and seek advice from the Student Services Centre and/or their academic department.
47. The School has established a set of procedures which students may access if they face exceptional circumstances which affect examinations or other forms of assessment:
  - 47.1 A student may request to defer one or more assessments in accordance with the Schools published Deferral Procedure.
  - 47.2 A student may be permitted to sit an examination overseas in exceptional circumstances where there is clear evidence that the event, in the School's view, would make it inadvisable for the student to return to the UK. The School will not agree to a request which is based solely on the student's personal convenience or the cost of travelling to London.
  - 47.3 A student who is unable to follow the Extension Procedure or Deferral Procedure must follow the Exceptional Circumstances Procedure in order to inform the Sub-Board of examiners about circumstances that may have affected their assessment(s). Such circumstances would normally be sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question. The Sub-board of Examiners may inform the relevant School Board of Examiners of these circumstances.

Full details and guidance on these procedures are published on the Student Services Centre website:

<https://info.lse.ac.uk/current-students/student-services/student-services-centre>.

### Re-sits

48. Having taken assessments during the academic year, if a student is required to resit an assessment or defers an attempt at an assessment, the next opportunity to take the assessment will be in or before the end of the next IRDAP.
49. Students who defer and/or fail assessments taken during the IRDAP, and have attempts remaining, are required to take outstanding resit/deferred assessments during the next suitable opportunity.
50. A student being re-assessed must take assessments for the same courses as they attempted previously, unless they obtain permission from their department and the Repeat Teaching Panel and satisfactorily complete assessments for different courses.
51. A student proposing to resit an assessment or attempt a deferred assessment whilst on interruption from their programme of study shall be permitted to undertake that assessment by the Academic Registrar or their designated deputy.
52. A student who resits an assessment when not enrolled at the School will be required to pay a fee determined by the School from time to time. A student who for medical or other reasons approved by the School does not attempt an assessment while in attendance at the School may be permitted to attempt such an assessment again without payment of a fee, whether or not in attendance at the School.
53. For students that have exhausted the maximum number of attempts at a course and have received a Zero Absent and/or Zero Incomplete mark in components of assessment for each attempt at the course, the Sub-Board should determine whether the student has attempted and completed the work in at least one of the previous attempts at each and every component of assessment. Where the Sub-board determines the student has attempted and completed the work in at least one of the attempts at each and every assessment they can be considered eligible for the award of the degree.
54. The mark achieved at the latest attempt at the course can be used for the purpose of calculating the first year average mark if it is a first year course and will be used to calculate the overall aggregate if it is not a first year course. Academic transcripts will show the course results of all attempts at assessment, unless discounted on the basis of exceptional circumstances, as described in paragraph 47.3.

### Eligibility for Award

55. To be eligible for the award of a qualification a student must have:
  - 55.1 completed to the satisfaction of the School the programme prescribed by the School for the qualification concerned; and
  - 55.2 shown a competent knowledge across the programme of study taken as a whole; and
  - 55.3 met all requirements set out in the General Academic Regulations, Regulations for First Degrees and Programme Regulations.

56. A student will be awarded a qualification under the relevant classification scheme at the first point at which they become eligible. Students eligible for award with unredeemed failed assessments will not normally be given the opportunity to resit the failed assessments.
57. A student with an unredeemed Zero Incomplete or Zero Absent mark in a course that has run out of opportunities to attempt and complete the outstanding assessment within that course is no longer eligible for the award of the degree.
58. A student upon whom a qualification has been conferred ceases to be eligible for consideration for any further award arising from that programme.
59. No student will be recommended for the award of any qualification who has not settled any outstanding academic debt with the School or who has not made acceptable arrangements to settle any such account, and neither will any information on such a person's academic performance be communicated to that person or to any third party save as required by law.

#### **Late Assessment Submission**

60. All students must be given clear written instructions on what is required and the deadline for submission of assessments. This applies for both a first attempt and any subsequent resit or deferred attempts. Deadlines should not normally be set for a working day preceding a non-working day.
61. A student may apply for an extension to published deadlines for summative assessment in accordance with the School's published Extension Procedure.
62. If a student fails to submit by the set deadline (or extended deadline as appropriate) only the Sub-board Chair can decide whether or not to accept the work. If late work is accepted late penalties will apply. The full list of penalties can be found on the [\*\*Assessment Discipline and Academic Misconduct\*\*](#) web page.

#### **Information about Assessment Results**

63. A list of students who have successfully completed their programme and have received an award will be published by the School each year.
64. Following each diet of assessments of taught courses, students may request an intermediate transcript of their marks or grades obtained at those assessments.
65. A certificate of award will be dispatched to each student who is awarded a qualification. The certificate will state the title of the qualification and the date of conferment.
66. The School will provide a final transcript of marks or grades awarded for taught courses to every student on completion of the programme.

#### **Copyright**

67. Students should refer to the School's Intellectual Property policy.

#### **Grievances and appeals**

68. A student dissatisfied with any aspect of teaching provided by the School may pursue their case through the Student Complaint Procedure, unless the substantive subject of the grievance is covered by a separate procedure such as that on sexual harassment.
69. A student may appeal against the decision of the examiners concerned, as set out in the Appeals Regulations. Appeals against the academic judgment of examiners are not permitted.

See the [\*\*Calendar\*\*](#) for further information about Programme Regulations, Course Guides, School and academic Regulations.



## REGULATIONS FOR FIRST DEGREES

*These regulations are approved by the Academic Board / the School Board of Examiners for BA/BSc Degrees.*

*Last updated: September 2021*

### General

1. These Regulations are made subject to the General Academic Regulations of the School. They apply to every student taking a programme leading to a first degree in the School or any course constituting part of such a degree.
2. The first degrees in the School are the Bachelor of Arts (BA), the Bachelor of Science (BSc) and the Bachelor of Laws (LLB), comprising a number of programmes each leading either to the award of the degree. Students may also complete the General Course.

### Programmes of Study

3. The minimum length of the period of study is set out in the individual programme regulations. The normal maximum period of registration for an undergraduate programme will be as defined within the General Academic Regulations. Failure to achieve an award within the maximum period of registration allowed will result in deregistration.
4. A student will normally enrol for courses up to the value of four course units in each year. Courses must be chosen to comply with the programme regulations concerned. All undergraduate students are enrolled on LSE100 in addition to the courses specified by their programme regulations.<sup>1</sup>
5. All undergraduates take the compulsory additional course, LSE100, which for students starting in or after the 2021/22 academic year, may count towards final degree classification as part of the first year average and is represented on their transcript, but does not count towards progression requirements.
6. Students may be enrolled on to compulsory courses for which the marks will appear on their academic transcript but will not be counted for the purpose of classification.

### Recognition of Previous Study

7. The School may exempt a student from part of a programme and may exempt such a student additionally from part of the assessments prescribed for the degree. A person who has obtained one of the following qualifications may be admitted directly to the second year and complete the programme in not less than two academic years:
  - 7.1 a degree of a university in the United Kingdom, of the Council for National Academic Awards or of a university outside the United Kingdom recognised by the School for the purpose;
  - 7.2 any other qualification obtained by written examination, which is recognised by the School for the purpose;
  - 7.3 qualifications other than those above and / or experience relevant to the programme. Such a person may be required to sit a qualifying examination.
8. The School may consider for admission directly to the second year or to an earlier point of a programme any person who will have taken part of a first degree programme or has appropriate qualifications and / or experience. Such a person may be required to sit a qualifying examination.
9. A student admitted under paragraph 7 or 8 may be granted exemption from courses and assessments, or may be subjected to additional requirements, in accordance with the relevant programme regulations.
10. When considering an application under paragraphs 7, 8 or 9 the School shall consider the following:
  - 10.1 the standard and content of courses and assessments taken elsewhere, certified by the appropriate officer or officers of the relevant institution, and their relevance to the intended programme at the School;
  - 10.2 the compatibility of the study previously undertaken with the proposed programme, to allow a smooth transition into that programme;
  - 10.3 the reasons given for transfer and observations made on them by the institution most recently attended. The applicant must have been eligible, on academic grounds, to continue study at that institution.

### Students Undertaking Study Elsewhere

11. Programme regulations may require the student to spend a period of study in a university designated by the School or in an alternative approved activity in another country.
12. The School may exceptionally permit a student to spend up to one year of their programme, other than the first year, in another institution of university status and may exempt them from the courses that would have been taken in that year or part thereof, provided
  - 12.1 that the institution has been approved for this purpose by the School, and
  - 12.2 that the study carried out in that institution coheres with the remainder of the programme, and
  - 12.3 that any arrangements for the evaluation of the student's assessment performance in the courses followed at that institution to be accepted in lieu of the assessments prescribed by Course Guides or programme regulations have been approved for this purpose by the School, and

- 12.4 that the standard of the course or courses attended by the student is equivalent to that of the course or courses the student would normally have followed at the School.
13. A student receiving permission under section 12
  - 13.1 shall be exempted from the requirements of the programme by no more than a value of four full course-units, from those components of the assessment which the student would have taken in the year or part thereof that they spent at another institution, and
  - 13.2 shall be credited with such marks or grades (if any) as the School shall think fit in respect of the assessment made in lieu of the prescribed assessments.

### Assessments

14. A student will normally be assessed in courses up to the value of four full course units by the end of each academic year, with the exception of year one when students also take the compulsory half-unit LSE100. A student will not be re-assessed in any course which they have already passed other than under paragraph 17.
15. The School may at its discretion exclude from an examination a student who has not satisfactorily attended the course in that year of study or who has not completed the work required in that course. Examinations from which students are barred count as an attempt at the course in question, as set out in paragraph 16 below and in accordance with the General Academic Regulations.
16. A student who has failed a course or component of a course and who has not been awarded a degree will normally be required to resit the failed course or component of a course at the first possible opportunity, but no LLB assessment or first year BA/BSc assessment shall be attempted more than three times and no second, third or fourth year BA/BSc assessment shall be attempted more than twice.
17. A student registered on an LLB programme who has failed
  - 17.1 in assessments to the value of two or more course units in one year shall normally resit all assessments taken in the year.
  - 17.2 in any course may be required to resit any or all of the assessments taken in that year.
18. A student registered on an LLB programme who is re-sitting examinations where the assessment includes an essay and who has passed in that course shall not re-sit that paper and their existing mark in it shall remain unchanged. A student who has failed in that course may resubmit the essay, and at their discretion the examiners may conduct an additional oral examination of the student which may concern not only the content of the essay but also its wider background.
19. Notwithstanding the provisions of paragraphs 14 to 18, a student registered on the General Course is only entitled to re-sit a failed assessment once. If such a student makes no attempt at a summative assessment, as set out in the General Academic Regulations, without reasons approved by the School a resit is not normally permitted.
20. When a student is required to resit a component of assessment, the overall course mark will be capped at the Pass mark of 40.

### Progression from One Year to Another

21. A student registered on a BA or BSc programme who has completed the first year of the programme and who has passed assessments in courses to the value of at least three course units, excluding LSE100, will be eligible to progress to the second year. The School may consider an application to progress to the second year of the degree from a student who has not met this requirement and at its discretion the School may allow such a student to progress or to repeat failed first year courses as appropriate.
22. A student registered on an LLB programme will be eligible to progress to the second year of study in that programme if they have completed the first year of the programme and have passed the assessments for all courses either at the first sitting or at re-sit. The School may consider an application to progress to the second year of the degree from a student who has not met this requirement and at its discretion the School may allow such a student to repeat the first year of the programme.
23. A student registered on a BA or BSc programme who has completed the second year of the programme and who has passed assessments in courses to the value of at least seven course units will be eligible to progress to the third year. The School may consider an application to progress to the third year from a student who has not met this requirement and at its discretion the School may allow such a student to progress or to repeat failed second year courses as appropriate.
24. A student registered on an LLB programme will be eligible to progress to the third year of the programme if they have completed the second year of the programme and
  - 24.1 has passed or had failure condoned in all assessments required to complete the year successfully, either at first sitting or after repeating; or
  - 24.2 at the discretion of the School has been permitted to resit any failed assessment concurrently with the assessments of the third year.
25. A student who extends their three year programme by one year through participating in an overseas exchange programme will be eligible to proceed to the fourth year of the programme if

## 22 School Regulations

- 25.1 they have fulfilled the normal first and second year progression rules at paragraphs 20 and 22 above.
- 25.2 they have fulfilled any progression requirements determined by the Department that they were required to undertake at the overseas institution

Where a student fails to meet the progression requirements for their year overseas, the department may consider whether there are any exceptional circumstances to allow the candidate to enter the final year of the programme.

- 26. A student registered on a four year BA or BSc non-exchange programme who has passed assessments in courses to the value of at least eleven course units will be eligible to progress to the fourth and final year. The School may consider an application to progress to the fourth year from a student who has not met this requirement and at its discretion the School may allow such a student to progress or to repeat failed third year courses as appropriate.

### Illness and Other Exceptional Circumstances

- 27. In only the most exceptional cases where the exceptional circumstances are sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question, Sub-Boards may recommend to the School Board of Examiners that:
  - (i) the student's result(s) in the affected assessment(s) be discounted, and that they be allowed to resit. Where this is a first attempt at the assessment the resulting course mark will not be capped. Where this is a second or subsequent attempt, the course mark will be capped at the Pass mark of 40;
  - (ii) the student's result(s) in the affected assessment(s) not be discounted, but that they be allowed an exceptional additional attempt. Where this additional attempt is a third or fourth attempt the overall course mark will be capped at the Pass mark of 40;
  - (iii) the student be awarded a degree where a degree would not normally be awarded. Sub-Boards may not make this recommendation for a student who has made no attempt a summative assessment, as set out in the General Academic Regulations unless regulation 35 below is being applied.
- 28. The School Board of Examiners shall be the sole authority in deciding whether to uphold such recommendations.

### The Award of a Degree

- 29. To be eligible for an award a student must have:
  - 29.1.1. satisfied the requirements of all applicable regulations and must have attempted and completed every component of the assessment for courses to the value of
  - 29.1.2. eight course units, for second year direct entry students to a three year programme
  - 29.1.3. twelve course units plus LSE100<sup>2</sup>, for students on a three year programme
  - 29.1.4. sixteen course units plus LSE100<sup>3</sup>, for students on a four year programme
- 30. These requirements will apply except where paragraph 35 is applied.
- 31. A student registered on a four year BA or BSc non-exchange programme who has completed all assessments in the third year but is unable to continue to the fourth year, due to non-academic and exceptional circumstances, may apply to the School for classification under the three year degree classification scheme in the department in which the four year degree is based.
- 32. A student registered on a four year BA or BSc non-exchange programme who has completed all assessments in the final year; has exhausted all attempts; and cannot be awarded the four year degree will be awarded a three year degree in the department in which the four year degree is based. The award classification will be calculated using only the marks from the first nine classification marks i.e. marks from years one to three of the programme under the three year degree classification scheme with the addition of a drop in one class in the award classification. This drop in class will be in addition to any penalty applied under paragraph 11 of the three year degree classification scheme.
- 33. In the case of second year direct entry students, the classification of results will not take into account the student's performance during previous studies at another institution.
- 34. A student awarded a degree will be awarded First Class Honours, Upper Second Class Honours, Lower Second Class Honours, Third Class Honours or, in the case of a student who does not qualify for Honours, a Pass Degree.

### Special Provisions

- 35. A student who for exceptional medical reasons i.e. a terminal illness or death is unable to complete the requirements of the programme at the end of their final year, may be considered under the Aegrotat degree Award Policy.

**SCHEDULE TO THE REGULATIONS FOR FIRST DEGREES**

The powers of the School set out in these Regulations shall be exercisable as follows:

Regulation	All students
13	Chair of Undergraduate Studies Subcommittee
7-9	Head of Department
13 (re-sit permission) 23-25, 34	School Board of Examiners for BA and BSc degrees School Board of Examiners for LLB degrees
15	Dean of Undergraduate Studies
20-22	Repeat Teaching Panel
13 (fee date)	Academic Registrar

**Footnotes**

- <sup>1</sup> With the exception of the 2020/21 academic year when this course was suspended.
- <sup>2</sup> For students starting in or after the 2021/22 academic year.
- <sup>3</sup> For students starting in or after the 2021/22 academic year.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

## THREE YEAR CLASSIFICATION SCHEME FOR BA/BSC DEGREES FOR STUDENTS FROM THE 2018/19 ACADEMIC YEAR

*This Classification Scheme is approved by the School Board of Examiners for BA/BSc Degrees. Last updated: August 2021*

This classification scheme should be read in conjunction with the General Academic Regulations (which contains a glossary of terms used in this scheme), Regulations for First Degrees, the relevant BA/ BSc programme regulations, the relevant online Undergraduate course guides, the Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment and the Addendum - Regulations for 2021/22 updated in response to COVID-19.

### Award of Marks

- The examiners for each course will decide a numerical mark for each course a student has taken using the following scale:

First Class Honours	70 - 100
Upper Second Class Honours	60 - 69
Lower Second Class Honours	50 - 59
Third Class Honours	40 - 49
Fail	0 - 39

### Eligibility for Award

- A student will only be eligible for the award of a degree if they have submitted every component of assessment (which includes sitting an exam) for all courses required by the Programme Regulations, including LSE100 i.e. all summative assessments set out in the course guides must be completed and students must have met the criteria set out in the General Academic Regulations and the Regulations for First Degrees.

### Classification Marks and the Aggregate

- The classification of each student shall be based on eighteen classification marks, comprising:
  - the marks achieved in all eight second and third year courses with full-unit marks counted twice and half-unit marks counted once to make a total of sixteen classification marks.
  - the seventeenth and eighteenth classification marks will use the First Year Average full unit mark counted twice.
  - the First Year Average will be calculated using the average<sup>2</sup> of the best six out of nine marks in first year courses. All first year full unit marks will be counted twice and any half unit marks counted once to make a total of nine first year marks.
  - for second-year direct entry students, the seventeenth and eighteenth marks will be the average of all sixteen second and third year classification marks resulting in 2 identical classification marks.
- The aggregate for each student is the sum of the eighteen classification marks.
- In all cases, the 'classification marks' shall be based on the marks obtained by the student in their latest attempt at each element of assessment for each course.
- For students starting in the 2021/22 academic year, LSE100 will count towards the First Year Average if it is one of the best six out of nine first year marks. For students starting before the 2021/22 academic year, the mark achieved in LSE100 is not a classification mark and is not used to calculate the First Year Average or award. Regardless of when a student started, an unredeemed fail in LSE100 will not be considered for the purpose of applying any of the penalties at Paragraph 11.

### Degree Classification

- Subject to the application of the penalty rules for failed courses<sup>1</sup> in section 11 below, the classification of an award shall be calculated as follows:
  - For first class honours: Ten first class marks; or nine or eight first class marks and an aggregate of at least 1180.
  - For upper second class honours: Ten upper second class marks (or above); or nine or eight upper second class marks (or above) and an aggregate of at least 1030.
  - For lower second class honours: Ten lower second class marks (or above); or nine or eight lower second class marks (or above) and an aggregate of at least 880.
  - For third class honours: Sixteen third class marks (or above).
  - For a pass degree: A pass degree will only be awarded as a result of the application of the penalty rules set out in section 11 below or, despite being eligible for an award, failing to meet the criteria for a third class honours degree as set out in section 7.4 above.

8. Where an assessment is failed and re-taken, the overall grade for the course for which the resit assessment was taken will be capped at Pass for the purposes of calculating the final degree classification. Furthermore, a maximum mark of 40 will be used for calculating either the first year average if one of the best six first year marks, or the aggregate if a second or third year classification mark. Both the original fail mark and the new mark achieved at resit will be shown on the transcript.
9. Students are permitted three attempts to pass a first year paper<sup>1</sup> and two attempts to pass a second year paper<sup>1</sup>.
10. A student will be awarded a degree at the first point at which they become eligible. Students eligible for award with unredeemed failed papers<sup>1</sup> will not be given the opportunity to resit any failed assessments.

### Penalty Rules

11. The classification of an award for a student with an unredeemed fail in any course taken in fulfilment of the programme regulations shall be calculated as follows (n.b. section 11.3 will not apply to second-year direct entry students):
  - 11.1 a drop of one class in the award classification shall result where a student has unredeemed fails in more than one course i.e. more than one full-unit or two-half units.
  - 11.2 the degree shall be capped at 'Pass' where a student has unredeemed fails in three courses i.e. three full-units or six half-units.
  - 11.3 any unredeemed fail(s) in a first year course or courses, with the exception of LSE100, will be taken into account under sections 11.1 and 11.2.

### General Proviso

12. It is also open to a Sub-Board of Examiners to recommend to the School Board of Examiners for BA/BSc Degrees any departure from this Scheme if, in their judgement, this would be equitable for any individual student as a direct result of a **formal Exceptional Circumstances submission** to the Student Services Centre. Such circumstances need appropriate supporting evidence, must fall outside of the normal assessment process and apply to that student only. The following conditions also apply:
  - 12.1 that the student is very close to the next higher classification boundary i.e. within 3 marks in a single course which has been used for classification i.e. one full-unit or two half-units; or, 10 marks on aggregate using the criteria determined in section 4; and
  - 12.2 that the student has marks in the higher classification range; and
  - 12.3 that the student has demonstrated that the assessment or set of assessments in question were significantly and negatively affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question; and
  - 12.4 that the student's performance in the affected assessment(s) was significantly out of line with their performance in other, unaffected assessments.

### Footnotes

- <sup>1</sup> Under the programme regulations for all of the School's three year BA/BSc degrees, students have to complete four 'papers' in each of their three years of study. Second year direct entry students have to complete four 'papers' in each of their second and third years of study. Each 'paper' represents a full-unit course or two half-unit courses.
- <sup>2</sup> Where marks are averaged, the resulting average will be rounded up or down to the nearest whole mark.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.



## FOUR YEAR CLASSIFICATION SCHEME FOR BA/BSC DEGREES FOR STUDENTS FROM THE 2018/19 ACADEMIC YEAR

*This Classification Scheme is approved by the School Board of Examiners for BA/BSc Degrees.*

*Last updated: August 2021*

This classification scheme should be read in conjunction with the General Academic Regulations (which contains a glossary of terms used in this scheme), Regulations for First Degrees, the relevant BA/ BSc programme regulations, the relevant online Undergraduate course guides, the Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment and the Addendum - Regulations for 2021/22 updated in response to COVID-19.

### Award of Marks

- The examiners for each course will decide a numerical mark for each course a student has taken using the following scale:

First Class Honours	70 - 100
Upper Second Class Honours	60 - 69
Lower Second Class Honours	50 - 59
Third Class Honours	40 - 49
Fail	0 - 39

### Eligibility for Award

- A student will only be eligible for the award of a degree if they have attempted and completed every component of assessment for all courses required by the Programme Regulations, including LSE100 i.e. all summative assessments set out in the course guides must be completed and students must have met the criteria set out in the General Academic Regulations and the Regulations for First Degrees.

### Classification Marks and the Aggregate

- The classification of each student shall be based on twenty-six classification marks, comprising:
  - the marks achieved in all twelve second, third and fourth year papers<sup>1</sup> with full-unit marks counted twice and half-unit marks counted once to make a total of twenty-four classification marks.
  - the twenty-fifth and twenty-six classification marks will use the First Year Average full unit mark counted twice.
  - the First Year Average will be calculated using the average<sup>2</sup> of the best six out of nine marks in first year papers<sup>1</sup>. All first year full-unit marks will be, counted twice and any half-unit marks counted once to make a total of nine first year marks.
- The aggregate for each student is the sum of the twenty-six classification marks.
- In all cases, the classification marks shall be based on the marks obtained by the student in their latest attempt at each element of assessment for each course.
- The marks for the Interdisciplinary Research Seminar are not classification marks and are not used to calculate the award. For students starting in the 2021/22 academic year, LSE100 will count towards the First Year Average if it is one of the best six out of nine first year marks. For students starting before the 2021/22 academic year, the mark achieved in LSE100 is not a classification mark and is not used to calculate the First Year Average or award. Regardless of when a student started, an unredeemed fail in LSE100 will not be considered for the purpose of applying any of the penalties at Paragraph 11.

### Degree Classification

- Subject to the application of the penalty rules for failed papers<sup>1</sup> in section 11 or the application of section 12 or 13 below, the classification of an award shall be calculated as follows:
  - For first class honours:** Fourteen first class marks; or thirteen or twelve first class marks and an aggregate of at least 1700.
  - For upper second class honours:** Fourteen upper second class marks (or above); or thirteen or twelve upper second class marks (or above) and an aggregate of at least 1490.
  - For lower second class honours:** Fourteen lower second class marks (or above); or thirteen or twelve lower second class marks (or above) and an aggregate of at least 1270.
  - For third class honours:** twenty-four third class marks (or above).
  - For a pass degree:** A pass degree will only be awarded as a result of the application of the penalty rules set out in section 11 below or, despite being eligible for an award, failing to meet the criteria for a third class honours degree as set out in section 7.4 above.

8. Where an assessment is failed and re-taken the overall grade for the course for which the resit assessment was taken will be capped at Pass for the purposes of calculating the final degree classification. Furthermore, a maximum mark of 40 will be used for calculating either the first year average if one of the best six first year marks, or the aggregate if a second or third year classification mark. Both the original fail mark and the new mark achieved at resit will be shown on the transcript.
9. Students are permitted three attempts to pass a first year paper<sup>1</sup> and two attempts to pass a second or third year paper<sup>1</sup>.
10. A student will be awarded a degree at the first point at which they become eligible. Students eligible for award with unredeemed failed papers<sup>1</sup> at the end of the fourth year will not be given the opportunity to resit any failed assessments.

### Penalty Rules

11. The classification of an award for a student with an unredeemed fail in any paper<sup>1</sup> taken in fulfilment of the programme regulations shall be calculated as follows:
  - 11.1 a drop of one class in the award classification shall result where a student has unredeemed fails in more than one paper<sup>1</sup>. i.e. more than one full-unit or two half-units.
  - 11.2 the degree shall be capped at 'pass' where a student has unredeemed fails in three papers<sup>1</sup> i.e. three full units or six half-units.  
Any unredeemed fail(s) in a first year paper (or papers), with the exception of LSE100, will be taken into account under sections 11.1 and 11.2.
12. A fourth year student who has completed the fourth year of the programme but is not eligible for the award of the degree as set out above may be awarded a degree from the department in which the four year degree is based in accordance with the three year BA/BSc classification scheme. The degree awarded will be subject to a drop by one classification after the application of the three year Classification Scheme. A student will also be subject to the application of the penalty rules for failed papers in section 11 of the three year scheme.
13. A student who has completed the third year of the programme may apply to the School to be classified if they are unable to continue to the fourth year due to non-academic and exceptional circumstances. If accepted, they may be awarded a degree from the department in which the four year degree is based in accordance with the three year BA/BSc classification scheme.
14. Students awarded a degree under sections 12 and 13 above will be classified on the basis of eighteen classification marks; namely, the First Year Average as determined by section 3.3 above plus all eight second and third year papers<sup>1</sup>. In all cases, the classification marks shall be based on the marks obtained by the student in their latest attempt at each element of assessment for each course.

### General Proviso

15. It is also open to a Sub-Board of Examiners to recommend to the School Board of Examiners for BA/BSc Degrees any departure from this Scheme if, in their judgement, this would be equitable for any individual student as a direct result of a **formal Exceptional Circumstances submission** to the Student Services Centre. Such circumstances would need appropriate supporting evidence, must be fall outside of the normal assessment process and would apply to that student only. The following conditions also apply:
  - 15.1 that the student is very close to the next higher classification boundary i.e. within 3 marks in a single paper<sup>1</sup> which has been used for classification i.e. one full-unit or across two half-units or 10 marks on aggregate using the criteria determined in section 4; and
  - 15.2 that the student has marks in the higher classification range; and
  - 15.3 that the student has demonstrated that the assessment or set of assessments in question were significantly and negatively affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question; and
  - 15.4 that the student's performance in the affected assessment(s) was significantly out of line with their performance in other, unaffected assessments.

### Footnotes

- <sup>1</sup> Under the programme regulations for all of the School's four year BA/BSc degrees, students have to complete four 'papers' in each of their four years of study. Each 'paper' represents a full-unit course or two half-unit courses.
- <sup>2</sup> Where marks are averaged, the resulting average will be rounded up or down to the nearest whole mark.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

## BACHELOR OF LAWS

The LLB programme includes three parts, Year One, Year Two and Year Three. Each part is examined in the Summer Term; if the examiners require candidates to be re-examined these resits will take place in the School's In Year Resit and Deferred Assessment Period (IRDAP).

At the discretion of the School, and with the permission of the other college concerned, arrangements may be made for students to take courses at other colleges of the University in legal subjects not taught at LSE.

## CLASSIFICATION SCHEME FOR THE BACHELOR OF LAWS FOR ALL STUDENTS FROM THE 2019/20 ACADEMIC YEAR

*This Classification Scheme is approved by the School Board of Examiners for BA/BSc Degrees.*

*Last updated: August 2020*

This classification scheme must be read in conjunction with the [Regulations for First Degrees](#), the [LLB degree regulations](#), the relevant [online undergraduate course guides](#), the [Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment](#) and the [Addendum - Regulations for 2021/22 updated in response to COVID-19](#).

### 1. Award of Marks

The examiners for each course will determine a numerical mark for each candidate based on the following scale:

First Class Honours	70 - 100
Upper Second Class Honours	60 - 69
Lower Second Class Honours	50 - 59
Third Class Honours	45 - 49
Pass	40 - 44
Fail	0 - 39

### 2. Eligibility for Award of Degree

- 2.1 In order to be considered for a degree, a candidate must have attempted and completed every component of assessment for all courses required by the programme regulations.
- 2.2 In order to be eligible for the award of a degree, a candidate must have passed the Year One Examination, and must have then satisfied the examiners by passing Year Two of the Degree and thereafter have satisfied the examiners by passing Year Three of the Degree.
- 2.3 All LSE undergraduate students are enrolled on course LSE100. However, LSE100 is not counted for the purposes of classification.

### 3. Treatment of half units

For the purpose of determining classification marks only, the marks obtained for each pair of half-unit courses should be combined and averaged (with the resulting average mark being rounded to the nearest whole mark). Half-unit courses should be paired using the following criteria in the order set out below:

- 3.1 according to the stage of the degree: half-units taken in the same year should be paired;
- 3.2 according to the marks awarded for each half-unit: the two half-units with the highest marks, then those with the next highest marks should be paired.

### 4. Classification Marks

The classification and aggregate of each candidate shall be based on all eight marks of the full subjects taken for Years Two and Three of the Degree. In all cases, the marks shall be based on the mark obtained by the candidate at the latest attempt of the examination for each course.

### 5. Classification Guidelines

A candidate who is eligible for the award of a degree and who has achieved the minimum requirement for the award of an honours degree of a particular class or division, or a pass degree as set out in sub-paragraphs 5.1 to 5.5 below shall be classified in that class, division or pass grade, subject to (A) and (B) below:

- (A) a candidate whose marks include fail marks, but who has otherwise achieved the minimum requirement for the award of an honours degree as set out in 11(A) and 11(B), should normally be classified in that class, division or pass grade next below that determined in accordance with sub-paragraphs 5.1 to 5.4.
- (B) a candidate who has marks of a higher class than that for which he is being considered shall have those higher marks regarded as some compensation in determining whether the aggregate mark is near enough to the 'normal aggregate'.

- 5.1 **For first class honours:**
- 5.1.1 Four first class marks; or
  - 5.1.2 Three first class marks and an aggregate mark which is near the 'normal aggregate' of 540.
- 5.2 **For upper second class honours:**
- 5.2.1 Four upper second marks (or above); or
  - 5.2.2 Three upper second marks (or above) and an aggregate mark which is near the 'normal aggregate' of 480.
- 5.3 **For lower second class honours:**
- 5.3.1 Four lower second marks (or above); or
  - 5.3.2 Three lower second marks (or above) and an aggregate mark which is near the 'normal aggregate' of 400.
- 5.4 **For third class honours:**
- 5.4.1 Four third marks (or above); or
  - 5.4.2 Three third marks (or above) and an aggregate mark which is near the 'normal aggregate' of 360.
- 5.5 **For a pass degree:**
- 5.5.1 Eight pass marks (or above); or
  - 5.5.2 Six pass marks (or above), of which at least two are third class (or above) and the 'normal aggregate' of 320.
- 5.6 **For candidates registered from 2011/12 onwards:**
- A candidate whose marks include a mark gained in a non-Law course and who would normally be classified in a particular class, division or pass grade under rule 5.1.2., 5.2.2, 5.3.2, 5.4.2, or 5.52 [the "normal aggregate" rules] will not be so classified where the examiners consider that it would be inequitable to do so.

## 6. Appeals and Offences

Appeals against decisions of LLB Board of Examiners will be handled according to the Appeals Regulations. Assessment offences will be handled according to Regulations on assessment offences: plagiarism or Regulations on assessment offences: offences other than plagiarism. All Regulations are published in the School Calendar.

## 7. Exceptional Circumstances

It is open to the LLB Board of Examiners to depart from this Scheme if, in their judgement, this would be equitable for any individual student as a direct result of a formal exceptional circumstances submission to the Student Services Centre. Such circumstances would need appropriate supporting evidence and must be extraneous to the normal assessment process and would apply to that student only. The following conditions will also normally be taken in to account:

- 7.1 that the student is very close to the next higher classification boundary (within 3 marks in a single paper); and
- 7.2 that the student has marks in the higher classification range; and
- 7.3 that the student has demonstrated that the assessment or set of assessments in question were significantly and negatively affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question; and
- 7.4 that the student's performance in the affected assessment(s) was significantly out of line with his / her performance in other, unaffected assessments.

## PASS, COMPENSATION AND FAIL RULES FOR YEAR THREE

### 8 Compensation Rules

A candidate shall pass Year Three and be considered for an award if they have passed all courses taken in the year or achieve pass marks in at least two or three units and meet the conditions for compensating those fail marks as set out below:

- (A) A candidate shall pass if she/he passed in three subjects and in the fourth attained a mark of at least 30, provided she/he has 1 mark over an aggregate of 160 for every mark by which her/his mark in the fourth subject falls short of 40;
- (B) A candidate shall pass, though she/he failed in two subjects, provided she/he attained not less than 38 in each of these subjects, and provided also that she/he has 3 marks over an aggregate of 160 for every mark by which each fail mark falls short of 40.
- (C) Students who are eligible for an award with fail marks will not be given the opportunity to resit any failed assessments

### 9. A Fail

- 9.1 A candidate who fails one or more courses and cannot be compensated must resit those failed elements provided they have not run out of attempts to do so. They must resit the failed subjects at the next available opportunity which will be either during the IRDAP for students who fail Summer Term exams, or the following Summer Term for candidates who fail during the IRDAP. Students must achieve the compensation rules at Paragraph 8 or achieve pass marks to be eligible for the award of the degree.
- 9.2 If a candidate passed the re-sit(s) the mark(s) achieved will be capped at a Pass mark of 40 for the purposes of classification. However, both the actual mark achieved at resit and the mark obtained in first instance will be included on the official transcript.
- 9.3 A candidate cannot resit an exam in which they have received a Pass mark.

### 10. The number of attempts at the Year Three examinations

Candidates who are eligible to resit Year Three examinations are entitled to a total of 3 attempts.

## PASS AND PROGRESSION RULES FOR YEAR TWO

### 11. Pass and Progress

- 11.1 A candidate shall progress to year three if they have passed all courses taken in the year or achieved pass marks in at least two or three units and meet the conditions for compensating those fail marks as set out below:
- (A) A candidate shall pass if she/he passed in three subjects and in the fourth attained a mark of at least 35, provided she/he has 1 mark over an aggregate of 160 for every mark by which her/his mark in the fourth subject falls short of 40; Or
  - (B) A candidate shall pass, though she/he failed in two subjects, provided she/he attained not less than 38 in each of these subjects, and provided also that she/he has 3 marks over an aggregate of 160 for every mark by which each fail mark falls short of 40.
- 11.2 Any candidate with one or two compensated fail marks will be given one opportunity in the IRDAP, if they wish, to re-sit the relevant examination(s). If the candidate fails the re-sit(s), the original fail mark(s) will be reinstated. If they pass the re-sit(s) the mark(s) achieved will be entered on their official transcript, however, for the purposes of classification of the law degree after the completion of the Year Three examinations the mark(s) of 40 will be considered to be the mark(s) that they attained.

### 12. A Resit

- 12.1 A candidate who fails one or more courses and does not meet the compensation requirements set out above must resit the failed components of assessments for any failed courses at the next available opportunity which will be either during the IRDAP for students who fail Summer Term exams, or the following Summer Term for candidates who fail during the IRDAP. If they pass the re-sit(s) the mark(s) achieved will be capped at a Pass mark of 40 for the purposes of classification. However, both the actual mark achieved at resit and the mark obtained in the first instance will be included on the official transcript.
- 12.2 A candidate who is required to resit and either fails to achieve a pass mark at resit or fails to meet the compensation requirements at Paragraph 8 cannot progress and must resit again at the next available opportunity provided they still have attempts remaining.
- 12.3 A candidate cannot resit an exam in which they have received a pass mark.

### 13. A Fail

- 13.1. Candidates who receive a Fail mark in a Year Two subject are entitled to a total of 3 attempts at the Year Two Examinations.
- 13.2 Candidates who fail to achieve the progression requirements at Paragraphs 11 and 12 above fail the degree. There is no opportunity for an interim award.



## SCHEME OF PASS AND COMPENSATION RULES FOR THE LLB YEAR ONE EXAMINATION

### 14. Award of Marks

The examiners for each course will determine a numerical mark for each candidate based on the following scale:

First Class Honours	70 – 100
Upper Second Class Honours	60 – 69
Lower Second Class Honours	50 – 59
Third Class Honours	45 – 49
Pass	40 – 44
Fail	30 – 39
Bad Fail	0 – 29

### 15. Eligibility for Passing the First Year

- 15.1 In order to be considered for the Year One Examination, a candidate must have attempted and completed every element of the First Year of the LLB degree.
- 15.2 In order to pass Year One, a candidate must have satisfied the examiners by passing all 5 examinations that make up the Year One Examination.

### 16. Compensation Rules

A candidate who fails in fewer than two subjects may be compensated in those failed subjects only provided that she/he has at least 30 marks in each of them. (NB: Property 1 and Introduction to the Legal System count as half subjects for this purpose).

### 17. A Fail

A candidate who fails in two or more subjects and cannot be compensated by the rules set out at Paragraph 16, fails the Year One Examination and must re-sit all subjects at the next available opportunity.

### 18. A Bad Fail in One Subject

A candidate who fails to achieve at least 30 marks in one subject fails the Year One Examination and must re-sit all subjects at the next available opportunity.

### 19. The IRDAP for Year One examinations

- 19.1 Candidates who are compensated are entitled to re-sit all failed subjects during the IRDAP.
- 19.2 A candidate cannot re-sit an exam in which they have received a Pass mark

### 20. The number of attempts at Year One examinations

Candidates who are eligible to sit Year One examinations are entitled to a total of 3 attempts.

### 21. General Proviso

It is also open to the LLB Board of Examiners to depart from this Scheme if, in their judgement, this would be equitable for any individual student as a direct result of a formal exceptional circumstances submission. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only.

See the [Calendar](#) for further information about Programme Regulations, Course Guides, School and academic Regulations.

## PROCEDURE TO AWARD AEGROTAT OR POSTHUMOUS DEGREES

1. The following procedure relates to the award of an undergraduate degree in the event of either:
  - a. a terminal illness preventing any further study; or
  - b. the death of a candidate prior to the completion of their degree
2. The Sub-Board responsible for the candidate's degree programme should formally make a request to the School Board of Examiners (SBE) via the Student Services Centre.
  - a. The Sub-Board should provide the SBE with the candidate's overall marks to date including any component marks for courses not yet complete.
3. The Sub-Board should take steps to ensure it has checked and verified appropriate evidence on behalf of the School.
4. The following guidelines apply to the SBE when considering awarding an Aegrotat or a posthumous degree:
  - a. the candidate has completed the majority of their studies. Normally they should have completed or nearly completed at least all first and second year assessments.
  - b. where a candidate marginally falls short of this requirement, the SBE may be able to consider component marks and/or formative marks where the candidate has partially completed a course.
  - c. there is strong evidence that the candidate would have achieved the award of a degree, had they been able to continue their studies.
  - d. where there is no clear evidence the candidate would have achieved the award, the Board must consider whether there are any mitigating factors for this.
  - e. the candidate must not have submitted any work that had received a fail mark as a result of an assessment misconduct allegation; or been the subject of disciplinary proceedings.
5. Where the Board determine not to make an award the candidate shall be entitled to a "certificate of achievement" which will show all the marks for courses completed at the School.
6. Where the SBE determines to make an award the candidate or their family will be awarded a degree certificate which confirms the award of a "Bachelor of Science/Arts Aegrotat with Honours in the following field of study [Insert programme title]"
7. Posthumous degrees will be awarded in the name of the deceased student and may be announced at the next relevant graduation ceremony, if the next of kin so desires. The Home Department should make arrangements with the Student Services Centre.
8. Where a student dies before the Exam Boards have met but after they have completed their programme of study, they shall be awarded in the normal way according to the relevant classification scheme. The Home Department should make arrangements with the next of kin and the Student Services Centre regarding:
  - a. the delivery of the certificate.
  - b. whether an announcement should be made at the ceremony.
  - c. whether the next of kin would like to be invited to the ceremony.

Any enquiries concerning these procedures should be directed to the Assessment Regulations and Appeals Manager.

## REGULATIONS FOR DIPLOMAS

*These regulations are approved by the Academic Board / the Graduate School Board of Examiners.*

*Last updated: August 2019.*

### General

1. These Regulations apply to all persons having registered for a programme of study leading to a Diploma and to those having registered for any part of such a programme. They are made subject to the General Academic Regulations for postgraduate students.
2. The Diploma is awarded in the majority of cases as an exit award as detailed in the relevant published programme classification schemes. Where this is the case, it will be stated within the relevant programme classification schemes as published School Calendar.

### Programmes of Study

3. Programmes shall be so organised as to fall into one or both of the following categories:
  - 3.1 a period of full-time study, the length of which shall be prescribed in the individual programme regulations but which shall be not less than one academic year, the assessments being completed by the end of that period;
  - 3.2 a period of part-time study of between two and four years, during which students will be assessed in accordance with the individual programme regulations.
4. A student may be allowed, at the discretion of the School and provided that the individual programme regulations so permit, to spend a maximum period of six months or, in the case of students pursuing a part-time programme, an equivalent period, on project work under appropriate supervision at an organisation or institution approved by the School as having a function relevant and suitable to the field of study. The student will not normally be permitted to undertake the project work outside the School.
5. A full-time student will normally register for courses up to the value of four courses in each year, and a part-time student for courses to a value of three courses or fewer. Courses must be chosen to comply with the programme regulations concerned.

### Assessment

6. Unless indicated otherwise in the individual programme regulations, each programme shall include submission of a significant piece of individual work.
7. A student will not be re-assessed in any course which they have already passed.
8. A student who does not at their first attempt successfully complete the assessment, or part of the assessment, for which they have been entered and who has not been awarded a diploma may resit that assessment on one occasion only.

### Illness and Other Exceptional Circumstances

9. In only the most exceptional cases where the exceptional circumstances are sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question, Sub-Boards may recommend to the Graduate School Board of Examiners that:
  - (i) the student's result(s) in the affected assessment(s) be discounted, and that they be allowed to resit.<sup>1</sup>;
  - (ii) the student's result(s) in the affected assessment(s) not be discounted, but that they be allowed an exceptional additional attempt.<sup>1</sup>
  - (iii) the student be awarded a diploma. Sub-Boards may not make this recommendation for a student who made no attempt at a summative assessment, as set out in paragraph 38 of the General Academic Regulations.
10. The Graduate School Board of Examiners shall be the sole authority in deciding whether to uphold such recommendations.

### The Award of a Diploma

11. To be eligible for the award of a diploma a student must satisfy the examiners in the assessments prescribed for the programme. This should take place within the School's standard period of registration for Taught Masters programmes as defined within the General Academic Regulations. Failure to achieve an award within the maximum period of registration allowed will result in de-registration
12. A student awarded a diploma will be awarded a Pass, Merit or Distinction.

**Schedule to the Regulations for Diplomas**

The powers of the School set out in these Regulations shall be exercisable as follows:

Regulation	Powers exercisable by
3, 9	The appropriate Sub-board Chair of Examiners

**Footnote**

- <sup>1</sup> Sub-Boards of Examiners may also recommend under paragraphs 9 (i) and (ii) that the student may, where relevant and appropriate, progress into the next year of study.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

## SCHEME FOR THE AWARD OF A DIPLOMA

*This Classification Scheme is approved by the Graduate School Board of Examiners / the Graduate Studies Sub-Committee.  
Last updated: July 2020*

This scheme should be read in conjunction with the General Academic Regulations for Postgraduate Students, Regulations for Diplomas, the regulations for the Diploma programme on which the student is registered, the relevant online course guides, the Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment and the Addendum - Regulations for 2021/22 updated in response to COVID-19.

### Grade and Mark for a Course

- The examiners for each course will decide a numerical mark for each student using the following scale:

Distinction	70 - 100
Merit	60 - 69
Pass	40 - 59
Fail	0 - 39

### Eligibility for Award

- In order to be eligible for a degree, a student must have submitted all elements of assessment (e.g. coursework, exams, group work etc.) required for each course as listed in the corresponding programme regulations.
- A student who makes no attempt at an element of summative assessment for a course, as set out in the General Academic Regulations for Postgraduate Students, will be considered not to have completed the course and will be marked as "Absent" or "Incomplete". An Absent or Incomplete mark will count as one of the two attempts allowed to pass the course. Therefore, students must follow to the School's deferral or extension request procedures if they are unable to attempt an assessment.
- A student will normally be awarded a degree at the first point at which they become eligible.

### Treatment of Half Units

- This Classification Scheme is based on the marks achieved by students in all papers<sup>1</sup> taken in fulfilment of the programme regulations. For the purposes of determining classification only, the marks obtained for half-unit courses shall be paired and averaged<sup>2</sup> according to the appropriate diploma programme regulations.

### Calculation of the Award

- The overall classification of an award shall be calculated as follows:

#### Pass

- A Pass diploma shall be awarded for the following combination of minimum marks:

7.1	3-unit programmes	40	40	40	
7.2	Or	50	40	20	
7.3	4-unit programmes	40	40	40	40
7.4	Or	50	40	40	20

#### Merit

- A diploma with Merit shall be awarded for the following combination of minimum marks:

8.1	3-unit programmes	60	60	60	
8.2	Or	70	60	50	
8.3	4-unit programmes	60	60	50	50
8.4	Or	70	60	50	40

#### Distinction

- A diploma with Distinction shall be awarded for the following combination of minimum marks:

9.1	3-unit programmes	70	70	50	
9.2	4-unit programmes	70	70	60	60
9.3	Or	70	70	70	50

### Failure to Achieve an Award

- If a student has not been awarded a diploma, they shall normally be entitled to repeat the failed courses only (on one occasion) and in accordance with the General Academic Regulations for postgraduate students. Where an assessment is failed and re-taken, the overall grade for the course for which the resit assessment was taken will be capped at Pass for the purposes of calculating the final award. Furthermore, a maximum mark of 40 will be used to calculate the aggregate. Both the original fail mark/grade and the new mark/grade achieved at resit will be

shown on the transcript. Where an assessment is deferred and it is taken as a first attempt, the grade will not be capped.

### General Proviso

11. It is also open to a Sub-Board of Examiners to recommend to the Graduate School Board of Examiners any departure from this Scheme if, in their judgement, this would be equitable for any individual student as a direct result of medical and / or exceptional circumstances. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The following conditions also apply:
  - 11.1 the student must be very close to the next higher classification boundary (within 3 marks in a single paper);
  - 11.2 the student must have marks in that higher classification range;
  - 11.3 the student must be able to demonstrate that the assessment or set of assessments in question were significantly affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question;
  - 11.4 the student must also be able to demonstrate that their performance in the affected assessment(s) was significantly out of line with their performance in other, unaffected assessment(s).

### Footnotes

- <sup>1</sup> Under the programme regulations for all of the School's diplomas, students have to complete a set number of 'papers'. Each 'paper' represents a full-unit course or two half-unit courses.
- <sup>2</sup> Where marks are averaged, the resulting average will be rounded up or down to the nearest whole mark.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

## SCHEME FOR THE AWARD OF A DIPLOMA IN ACCOUNTING AND FINANCE

*This Classification Scheme is approved by the Graduate School Board of Examiners/the Graduate Studies Sub-Committee.  
Last updated: July 2020*

This scheme should be read in conjunction with the General Academic Regulations for Postgraduate Students (containing a glossary of terms used in this scheme), the Regulations for Diplomas, the Diploma in Accounting and Finance programme regulations, the relevant on-line course guides, the Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment and the Addendum - Regulations for 2021/22 updated in response to COVID-19.

### Grade and Mark for a Course

1. The examiners for each course will decide a numerical mark for each student using the following scale:

Distinction	70-100
Merit	60-69
Pass	40-59
Fail	0-39

### Eligibility for Award

2. In order to be eligible for diploma, a student must have submitted all elements of assessment (e.g. coursework, exams, group work etc.) required for each course as listed in the corresponding programme regulations.
3. A student who makes no attempt at an element of summative assessment for a course, as set out in the General Academic Regulations for Postgraduate Students, will be considered not to have completed the course and will be marked as "Absent" or "Incomplete". An Absent or Incomplete mark will count as one of the two attempts allowed to pass the course. Therefore, students must follow to the School's deferral or extension request procedures if they are unable to attempt an assessment.
4. A student will normally be awarded a diploma at the first point at which they become eligible.

### Calculation of the Award

5. The classification of each student will be based on eight classification marks, with full-unit marks counted twice and half unit marks counted once.
  - 5.1 In all cases, the classification marks will be based on marks obtained by the student at their latest attempt at each course.
  - 5.2 The overall classification of an award will be calculated as follows;
    - 5.2.1 For the award of Distinction: at least half i.e. four or more classification marks must be at Distinction level; or
    - 5.2.2 For the award of Merit: at least half i.e. four or more classification marks must be at Merit level or Distinction level; or
    - 5.2.3 For the award of Pass:
      - 5.2.3.1 At least Pass grades to the value of seven classification marks; or
      - 5.2.3.2 At least Pass grades to the value of six classification marks with compensation for the failed course(s) as described under section 6

### Fail Marks

6. Where a student receives a Fail mark in any course, the following rules shall apply:
  - 6.1 A fail in a course of 0.5 unit value does not require compensation
  - 6.2 A fail in a course(s) to the value of 1.0 unit requires a minimum mark of 20 to be achieved in the failed full unit or each failed half unit.

### Failure to Achieve an Award

7. If a student has not been awarded a diploma, s/he shall normally be entitled to repeat the failed courses only (on one occasion), at the next appropriate assessment period and in accordance with the General Academic Regulations for postgraduate students.
8. Where an assessment is failed and re-taken, the overall grade for the course for which the resit assessment was taken will be capped at Pass for the purposes of calculating the final award. Furthermore, a maximum mark of 40 will be used to calculate the aggregate. Both the original fail mark/grade and the new mark/grade achieved at resit will be shown on the transcript. Where an assessment is deferred and it is taken as a first attempt, the grade will not be capped.



### General Proviso

9. It is also open to a Sub-Board of Examiners to recommend to the Graduate School Board of Examiners any departure from this Scheme if, in their judgement, this would be equitable for any individual student as a direct result of a **formal submission of exceptional circumstances** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The following conditions also apply:
  - 9.1 the student must be very close to the next higher classification boundary i.e. within three marks in either one or two classification marks (i.e. three marks in one full/half unit or three marks in each of two half units)
  - 9.2 the student must have marks in that higher classification range;
  - 9.3 the student must be able to demonstrate that the assessment or set of assessments in question were significantly affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question;
  - 9.4 the student must also be able to demonstrate that his / her performance in the affected assessment(s) was significantly out of line with his / her performance in other, unaffected assessment(s).

### Discounting Fail, Incomplete or Zero marks

10. It is open to a Sub-Board of Examiners to recommend to the GSBE that a Fail, Incomplete or Absent mark be discounted (treated as a deferral) if, in their judgement, this would be equitable for any individual student as a direct result of a **formal exceptional circumstances submission** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The conditions set out at 9.3 and 9.4 above will need to apply.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

## GENERAL ACADEMIC REGULATIONS

*(For all postgraduate students registered in the 2022/23 academic year)*

*These regulations are approved by the Academic Board.*

*Last updated: July 2022*

### General

1. These Regulations apply to all persons having registered for a Postgraduate course or programme of study at the School and should be read in conjunction with the **Conditions of Registration and Enrolment 2022/23**. All Undergraduate students have their own **General Academic Regulations**. These regulations are made subject to the Articles of Association of the School and to the School bye-laws, where appropriate. Any disputes arising from the application of the Regulations shall be governed by the Laws of England currently in force.
2. In these regulations the following terms shall have the meanings given:

Assessment	An assessed component of a course such as an examination, essay, dissertation, field project, presentation etc. which counts towards the award of a degree, also referred to elsewhere as summative assessment;
Course	A distinct part of a programme comprising lectures, classes, seminars, workshops and / or other learning activities;
Degree regulations	The Regulations for the Certificate, , Diplomas, Master's Degrees, Research Degrees and their associated classification schemes, as appropriate;
Qualification	An academic award such as a, Graduate Certificate or Diploma, Master's Degree or Research Degree;
Programme	A whole programme of study, comprising courses, whether or not it is intended that it should lead to an award of the School;
Resit	In the context of assessment, an attempt at a failed assessment other than the first attempt, such as an examination resit or resubmission of a piece of written coursework;
School	The London School of Economics and Political Science;
Sitting/Submitting	Entering an exam room to attempt an examination or attempting any other form of assessment (e.g. submitting coursework);
Student	A person registered as a student of the School under these Regulations;
Unredeemed fail	A failed course that is not passed (or redeemed) at resit.
3. Communications the School sends to an individual student will apply to that student only.

### Admission

4. An applicant for admission shall be required to:
  - 4.1 satisfy, or to be formally exempted by the School from, the entry requirements prescribed for the programme concerned, and
  - 4.2 apply through the prescribed procedure and to comply with subsequent administrative requirements.
5. The School may offer a place to an applicant on the programme applied for or on any other programme, or reject the application. An offer of a place may be conditional on the applicant obtaining a particular set of qualifications, either at pass level or at particular levels of pass, before a date determined by the School.
6. Competence in the English language is required of all applicants. The School will determine the level of competence required of each applicant and may make its achievement a condition of admission.
7. The School may from time to time determine the age or ages below which it will not admit students or will not admit them without special consideration.

### Registration

8. As per the **Conditions of Registration and Enrolment** a person who has not completed both pre-enrolment and on-campus enrolment is not considered as registered or enrolled at the School and shall not be entitled to take part in any activity in the School as a student. A person who is not enrolled as a student may not receive teaching at the School.
9. The Academic Registrar or their designated deputy may require any relevant documentation to be produced for inspection to establish the personal details and educational attainment of a person seeking registration and enrolment.
10. A student is required to register annually during the programme of study, according to procedures determined by the Academic Registrar or the Deputy Director of the PhD Academy or their designated deputy. The requirements for registration beyond initial registration are as follows:
  - 10.1 to have satisfied the academic requirements for progression from the previous year of study or to have

- been granted repeat teaching, and
- 10.2 to have completed all forms and / or provided all information required by the School as part of the re-registration process, and
- 10.3 to have paid all fees and charges due to the School or to have provided guarantees of such payment satisfactory to the School, and
- 10.4 not to have been barred from further registration or enrolment at the time concerned by application of these or other Regulations.
- 11. Students are entitled to take part in all prescribed learning activities and to use all relevant services of the School for the period of their enrolment .
- 12. On full completion of pre-enrolment and on-campus enrolment a representative of the School shall provide the student with an ID card. Any member of staff of the School may require production of this card at any time to establish entitlement to enter the School or to take part in its activities. A replacement may be obtained for a lost or damaged card, on payment of a fee to be determined by the Academic Registrar or their designated deputy.
- 13. Registration may be withdrawn at any time under these and other Regulations. After withdrawal a student is no longer entitled without special permission to use any facilities or services of the School or to receive any teaching or to be assessed.
- 14. The normal maximum period of registration for a postgraduate programme will be as follows: two years for 9-, 10- and 12-month programmes; three years for 21-month programmes; and four years for part-time study of any programme. The normal maximum period of registration for Executive MSc programmes will be six years.
- 15. A student may not register or remain registered, without the special permission of the School, if simultaneously registered for another programme of higher education. In such circumstances the School reserves the right to terminate their registration.

### **Programme Interruptions**

- 16. The School may at its discretion permit a student to interrupt their studies on grounds of illness or other relevant cause for a period of up to one year. In very exceptional circumstances, the School may permit a further interruption of up to one year. Requests to interrupt are usually only authorised on submission of evidence of exceptional circumstances. Guidance on requesting interruptions and responsibility for approval is published on the Student Services Centre website <https://info.lse.ac.uk/current-students/student-services/student-services-centre>

### **Programme Transfers and Variations**

- 17. The offer of admission and acceptance of a place applies to the specific degree programme that is named in the offer letter. The School will not allow a successful applicant to transfer from one programme to another after registration, unless it considers that exceptional circumstances apply. Such permission will be given only on the recommendation of the directors for the student's current programme and for the programme into which they wish to transfer.
- 18. The regulations for the programme upon which the student has registered determine the courses of study available to them. This includes courses determined as compulsory and non-compulsory option courses.
- 19. A student may only change the courses for which they have initially registered within the published timeframe in each of the Michaelmas and Lent Terms. The School will not permit a student who has attended teaching during MT to drop MT half unit course(s) or full unit courses for which they have received teaching in the MT during a LT course change period.

### **Boards of Examiners**

- 20. The School will establish a Graduate School Board of Examiners for taught graduate programmes. Each programme and course will be the responsibility of a departmental Sub-Board of Examiners which will report to the Graduate School Board.
- 21. Each Sub-Board of Examiners shall include examiners who are not members of staff of the School, who shall have regard to the totality of each programme.
- 22. Assessment procedures shall ensure that assessment is and can be demonstrated to be fair and impartial.
- 23. Each Board of Examiners shall ensure inter alia that the application of approved classification schemes shall have regard to the totality of the programme and to the requirements for progression within it, and to the requirement for each student to achieve a satisfactory overall standard.

### **Assessment**

- 24. By registering with the School a student agrees to be entered for assessment on the courses they are taking, at the time and place set by the School and by the methods prescribed in the relevant degree and programme regulations and in the School Calendar Course Guides.
- 25. A student is required to engage with their studies by attending classes, seminars, workshops, supervision sessions or other prescribed learning activities and producing promptly the work required. Dereliction, such as not

## 42 School Regulations

attending classes/seminars or repeated failure to complete formative work or required summative assessment, will result first in a warning, and if continued will result in exclusion from future assessment or from the School as appropriate.

26. A student will be assessed in each course, unless they have deferred or withdrawn under these Regulations.
27. Students are bound by the regulations in force at the time of their first entry to the examination or other assessment, including the individual programme regulations.
28. The method(s) of assessment for each taught course and the weighting of each method of assessment will be specified in the Course Guides.
29. The School may when required and with reference to appropriate School policies e.g. the Alternative Assessment Policy permit a variation of the method(s) of assessment for a course, in respect of some or all students. In cases where students need to resit non-repeatable assessment tasks, an appropriate alternative task will be set.
30. No fee is payable for the first attempt at an assessment.
31. Examinations take place in the week preceding the Lent Term and during the Summer Term. Students are required to be in attendance at the School for the duration of the periods in which their examinations take place and to be available until the end of the Summer Term.
32. All work submitted must be certified to be the student's own, and must comply with the School's **Statement on Editorial Help for Students' Written Work**, and with the School's **Regulations on Assessment Offences**.
33. Students who complete and fail a course overall, and are not eligible for an award, and have attempts remaining will be required to resit all failed assessments that form part of that course.
34. A student will not be re-assessed in any course or assessment in which they have already received a pass mark<sup>1</sup>.
35. A student will not normally be re-assessed in any course or assessment they have failed if they are eligible for the award of a qualification (e.g. certificate, diploma, degree). Where a student is required to resit a failed assessment, the pass mark(s) achieved in other passed assessments of that course shall count towards the new overall course mark, but the overall course grade will be capped at the Pass mark of 50. A maximum mark of 50 in the resit course will be used for calculating the overall award including the overall aggregate mark if required.
36. Students must attempt all assessment components in every course, such as sitting an examination or submitting a piece of coursework, in order to be eligible for the award of a degree. Failure to do so will result in a mark of Zero Absent' in the assessment in question and the course overall if that assessment is worth 100% of the course; or, 'Zero Incomplete' in the course overall if the assessment is worth less than 100% of the course. In either case the student must resit that assessment, provided they have attempts remaining and irrespective of the results of other assessments within the same course. In such cases where a student is required to resit the new overall course grade will be capped at pass.
37. Students may receive a Zero Fail mark for one or more components of assessment as a result of academic failure, academic misconduct, late submission or exceeding the word count etc. Such students will be expected to resubmit the work if the overall mark for the course is a Fail, the student is not otherwise eligible for an award and has an attempt remaining. The resit shall take place according to paragraphs 47-51. Students are not permitted to resit passed assessments.
38. Students who at the first attempt, fail an assessment but have deferred other assessments within the same course may choose to resit the failed assessment(s) at the same time they attempt the deferred assessment(s). In such cases, where a student decides to resit the failed assessment(s) the overall course mark will be capped at Pass as described in paragraph 35.
39. If a student decides not to resit failed assessments at the same time as taking their deferred assessments within the same course, all marks obtained at first attempt will be banked and used to calculate the new overall course mark once the deferred assessment has been taken. If the new overall course mark results in an overall fail mark and the student is not otherwise eligible for an award, they will be permitted to resit any failed assessment provided they have attempts remaining at the next opportunity according to paragraphs 33-35.
40. Where a student has failed courses and must resit/resubmit failed assessments they must ensure they repeat enough assessments to achieve the minimum criteria for an award as set out in the relevant classification scheme. Students must formally opt out of resitting/resubmitting failed course(s) by informing the Results and Awards Team by the published deadline. Opting out of repeating any failed course(s) is at the student's own risk and they must ensure they have passed any courses that are deemed as critical to assessment in the relevant local rules for their programme.
41. A student who completes a programme at the School and subsequently registers on to a new programme cannot retake any course which they have already passed during their time at the School.
42. Any marks awarded for a previous programme of study for which an award has been made cannot count towards any further programmes of study taken at the School.

### **Adjustments to Assessment, Deferrals and Exceptional Circumstances**

43. The School shall establish a procedure for determining reasonable adjustments to assessment for students with a disability, chronic medical condition or who experience an acute illness or injury during an assessment period.

- 44 Examiners / markers shall assess work without referring to medical and / or exceptional circumstances, unless they receive written instructions from the Student Services Centre to do so.
- 45 All students are normally required to sit examinations in London in accordance with the examination timetables which are published prior to each examination period. By submitting an assessment or attending an examination, the School considers the student to be declaring themselves fit to sit. If a student experiences disruption to their studies prior to this point from personal difficulties e.g. bereavement or illness, they should consider whether an extension or deferral is more appropriate and seek advice from the Student Services Centre and/or their academic department.
- 46 The School has established a set of procedures which students may access if they face exceptional circumstances which affect examinations or other forms of assessment:
  - 46.1 A student may request to defer one or more assessments in accordance with the Schools published deferral procedure.
  - 46.2 A student may be permitted to sit an examination overseas in exceptional circumstances where there is clear evidence that the event, in the School's view, would make it inadvisable for the student to return to the UK.
  - 46.3 A student who is unable to follow the Extension or Deferral Procedure must follow the Exceptional Circumstances Procedure in order to inform the Sub-board of examiners about circumstances that may have affected their assessment(s). Such circumstances would normally be sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question. The Sub-Board of Examiners may inform the relevant School Board of Examiners of these circumstances.

Full details and guidance on these procedures are published on the Student Services Centre website:  
<https://info.lse.ac.uk/current-students/student-services/student-services-centre>.

### Re-sits

- 47 Having taken assessments during the academic year, if a student (except for Diploma students) is required to resit an assessment or defers an attempt at an assessment, the next opportunity to take the assessment will be in or before the end of the next postgraduate Resit and Deferred Assessment Period (RDAP) – which is during the week preceding the Lent Term.
- 48 Students (except for Diploma students) deferring an assessment or carrying a resit from the RDAP will be able to take outstanding assessments during the next Summer Term assessment period, without being required to wait until the next RDAP. This means that a student who has assessments outstanding after the January 2022 RDAP will take them in the Summer Term 2022 assessment period rather than having to wait until the next RDAP in January 2023
- 49 Students registered on a Diploma programme will attempt resit or deferred assessments depending on the level of study of the assessment. For undergraduate level 100-300 courses, this will be during the undergraduate In-Year Resit and Deferred Assessment Period (IRDAP), which normally takes place in August. For postgraduate level 400 courses, this will be the postgraduate RDAP during the week preceding Lent Term.
- 50 Diploma students who defer and/or fail assessments taken during the RDAP or IRDAP, and have attempts remaining, are required to take outstanding resit/deferred assessments during the next suitable opportunity.
- 51 Students taking programmes of more than 12 months e.g. 21 or 24 months will be eligible to resit any failed or Bad Failed course/s from their first year of study if they are ineligible to progress in to the next year of study without resitting those course/s and have not run out of attempts to resit.
- 52 Bad Failed courses will always need to be re-taken at the earliest opportunity i.e. the next RDAP where the student has attempts remaining (subject to paragraph 49). Assessments for which students were Absent or in cases where a student has received a Zero Incomplete mark for the course will also be taken at the earliest opportunity i.e. the next RDAP (subject to paragraph 49).
- 53 Students taking programmes of more than 12 months who have failed a course but are still able to progress into the next year of study and/or are eligible for an award once all course assessments have been completed, will not be able to resit the failed course/s. Eligibility to resit will be subject to the rules set out in the relevant programme regulations and/or classification scheme and/or local rules. 54 MRes students whose programme regulations specify they are unable to progress to the next year of study or to the PhD without having passed all failed courses or who need to meet specific PhD progression criteria for example specific course marks or average marks will resit at the earliest opportunity i.e. the next RDAP.
- 55 Part-time students who fail courses in year one of their studies will be eligible to resit any Bad Failed course/s or failed courses which prevent them from being eligible to progress or achieve an award, if they have attempts remaining in the subsequent RDAP e.g. if a first year Bad Fail mark is confirmed in July the assessment for that course will be re-taken in the January RDAP (subject to paragraph 49). Resits for any other good failed/failed courses will be re-taken following confirmation of all course results once all assessments have been completed if the student is ineligible for an award and has not run out of attempts to resit. Assessments for which students were Absent or in cases where a student has received a Zero Incomplete mark for the course will be taken at the earliest opportunity i.e. the next RDAP (subject to paragraph 49).

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- 56 A student being re-assessed must take assessments for the same courses as they attempted previously, unless they obtain permission from their department and the Repeat Teaching Panel and satisfactorily complete assessments for different courses.
- 57 A student proposing to resit an assessment or attempt a deferred assessment whilst on interruption from their programme of study shall be permitted to undertake that assessment by the Academic Registrar or their designated deputy.
- 58 A student that is unable to progress to the next stage of their programme or is unable to be awarded the degree at the end of their programme without resit will be required to pay a resit fee.
- 59 Results obtained at resit always supersede any previous attempt. Academic transcripts will show the course results of the attempts at assessment used to calculate student award classifications and previous attempts at assessment where possible, unless discounted on the basis of exceptional circumstances, as described in paragraph 47.3.

### Eligibility for Award

- 60 To be eligible for the award of a qualification a student must have:
  - 60.1 completed to the satisfaction of the School the programme prescribed by the School for the qualification concerned, and
  - 60.2 shown a competent knowledge across the programme of study taken as a whole; and
  - 60.3 met all requirements set out in the General Academic Regulations, Degree Regulations and Programme Regulations.
- 61 A student will be awarded a qualification under the relevant classification scheme at the first point at which they become eligible. Students eligible for award with unredeemed failed assessments will not normally be given the opportunity to resit the failed assessments. The only exception being where a student is eligible for the award of the degree as a result of having "compensated" for failed marks as described in the classification scheme; in which case a student may be offered the choice to accept an award without resit or to resit any failed assessments before being awarded.
- 62 A student upon whom a qualification has been conferred will normally cease to be eligible for consideration for any further award arising from that programme.
- 63 No student will be recommended for the award of any qualification who has not settled any outstanding academic debt with the School or who has not made acceptable arrangements to settle any such account, and neither will any information on such a person's academic performance be communicated to that person or to any third party save as required by law.

### Late Assessment Submission

- 64 All students must be given clear written instructions on what is required and the deadline for submission of assessments. This applies for both a first attempt and any subsequent resit or deferred attempts. Deadlines should not normally be set for a working day preceding a non-working day.
- 65 A student may apply for an extension to published deadlines for summative assessment in accordance with the School's published Extension Procedure.
- 66 If a student fails to submit by the set deadline (or extended deadline as appropriate) only the Sub-board Chair can decide whether or not to accept the work. If late work is accepted, late penalties will be applied. The full list of penalties can be found on the [Assessment Discipline and Academic Misconduct](#) web page.

### Information about Assessment Results

- 67 Following each diet of assessments of taught courses, students may request an intermediate transcript of their marks or grades obtained at those assessments.
- 68 A certificate of award will be dispatched to each student who is awarded a qualification. The certificate will state the title of the qualification and the date of conferment.
- 69 The School will provide a final transcript of marks or grades awarded for taught courses to every student on completion of the programme.

### Copyright

- 70 Students should refer to the School's Intellectual Property policy.

### Grievances and appeals

- 71 A student dissatisfied with any aspect of teaching provided by the School may pursue their case through the Student Complaints Procedure, unless the substantive subject of the grievance is covered by a separate procedure such as that on sexual harassment.
- 72 A student may appeal against the decision of the examiners concerned, as set out in the Appeals Regulations. A research student may appeal against a decision to terminate registration, a decision not to upgrade to PhD or the result of an MPhil or PhD examination, as set out in the Appeals Regulations for Research Students. Appeals against the academic judgment of examiners are not permitted.

**Footnote**

- <sup>1</sup> The exceptions are research students who may be permitted to resit an assessment required for progression which does not contribute to an award. Such students are entitled to one further attempt only.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.



## REGULATIONS FOR CERTIFICATES

*These regulations are approved by the Academic Board/the Graduate School Board of Examiners.*

*Last updated: August 2019*

### General

1. These Regulations apply to all persons who have registered for a programme of study leading to the award of a Certificate, and to those who have registered for any part of such a programme. These Regulations are subject to the General Academic Regulations for postgraduate students.

### Programmes of Study

2. Programmes and the assessments associated with them shall be organised to fall into one or both of the following categories:
  - 2.1 a period of full-time study, the length of which shall be set out in the individual programme regulations but which shall normally be not less than one calendar year. Students will take assessments at the end of that period, or at a time specified in the programme regulations;
  - 2.2 a period of part-time study of between two and four years, during which students will be assessed in accordance with the individual programme regulations.
3. The minimum length of the period of study is set out in the individual programme regulations.
4. The normal maximum period of registration is as set out in the General Academic Regulations. Failure to achieve an award within the maximum period of registration allowed will result in de-registration.
5. A full-time student will normally register for courses up to the value of two full units in each year. A part-time student will normally register for courses to a value of one full unit. Courses must be chosen to comply with the programme regulations concerned.

### Assessment

6. Unless indicated otherwise in the individual programme regulations, each programme shall include submission of a significant piece of individual work.
7. A student will not be re-assessed in any course which they have already passed.
8. A student who does not at their first attempt successfully complete the assessment, or part of the assessment, for which they have been entered and who has not been awarded a diploma may resit that assessment on one occasion only.

### Illness and Other Exceptional Circumstances

9. In only the most exceptional cases where the exceptional circumstances are sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question, Sub-Boards of Examiners may recommend to the Graduate School Board of Examiners that:
  - i) the student's result(s) in the affected assessment(s) be discounted, and that they be allowed to resit<sup>1</sup>;
  - ii) the student's result(s) in the affected assessment(s) not be discounted, but that they be allowed an exceptional<sup>1</sup> additional attempt<sup>1</sup>;
  - iii) the student be awarded a Certificate. Sub-Boards may not make this recommendation for a student who made no attempt at a summative assessment, as set out in f the General Academic Regulations.
10. The Graduate School Board of Examiners shall be the sole authority in deciding whether to uphold such recommendations.

### Schedule to the Regulations for Certificates

The powers of the School set out in these Regulations shall be exercisable as follows:

Regulation	Responsible
9, 10	The appropriate Sub-board Chair of Examiners

### Footnote

- <sup>1</sup> Sub-Boards of Examiners may also recommend under paragraphs 9 (i) and (ii) that the student may, where relevant and appropriate, progress into the next year of study.

See the [Calendar](#) for further information about Programme Regulations, Course Guides, School and academic Regulations.

# REGULATIONS FOR TAUGHT MASTERS DEGREES FOR STUDENTS ENTERING IN OR AFTER THE 2009/10 ACADEMIC YEAR

*These regulations are approved by the Academic Board / the Graduate School Board of Examiners.*

*Last updated: August 2019*

## General

1. These Regulations apply to all persons who have registered for a programme of study leading to a degree of Master of Arts, Master of Laws, Master of Public Administration, Master of Public Policy, Master of Research or Master of Science at the School and to those who have registered for any part of such a programme. These regulations are subject to the General Academic Regulations for postgraduate students.

## Programmes of Study

2. Programmes and the assessments associated with them shall be so organised as to fall into one or both of the following categories:
  - 2.1 a period of full-time study, the length of which shall be prescribed in the individual programme regulations but which shall normally be not less than one calendar year. Students will attempt assessments at the end of that period;
  - 2.2 a period of part-time study of between two and four years, during which students will be assessed in accordance with the individual programme regulations.
3. The minimum length of the period of study is set out in the individual programme regulations. The normal maximum period of registration for Taught Masters programmes will be as defined within the General Academic Regulations. The normal maximum period of registration for Executive MSc programmes will be six years. Failure to achieve an award within the maximum period of registration allowed will result in de-registration.
4. If a student is taking a full-time programme of 12-months' duration or longer, they may be allowed to spend a maximum period of six months on project work under appropriate supervision at an organisation or institution approved by the School. The criterion for approval shall be that the external organisation or institution shall have a function relevant and suitable to the field of study. Such external project work will be at the discretion of the School, provided that it is allowed under the individual programme regulations. Part-time students may be allowed to undertake such external project work for an equivalent period. If a student is taking a full-time programme of less than 12-months' duration, they will not be allowed to undertake project work outside the School unless permitted by the individual programme regulations.
5. A full-time student will normally register for courses up to the value of four full units in each year. A part-time student will normally register for courses to a value of three full units or fewer. This may vary according to the relevant programme regulations. Courses must be chosen to comply with the programme regulations concerned.

## Assessment

6. Unless indicated otherwise in the individual programme regulations, each programme shall include submission of a significant piece of individual work.
7. A dissertation, where indicated in the scheme of assessment, will be assessed on one occasion only in each year. The date for submission will be set out in the programme regulations. A student may re-submit the dissertation early provided they meet one of the two following criteria:
  - 7.1 the student has failed their programme because of a failed dissertation and has failed no other courses;
  - 7.2 the student has not completed their programme, has deferred their dissertation submission and has completed all other courses.

The early re-submission date for such students will be set by the relevant Department.
8. A student who does not at their first attempt successfully pass the assessment or part of the assessment for which they have been entered and who has not been awarded a degree may resit that assessment on one occasion only and in accordance with paragraph 34 of the General Academic Regulations.

## Illness and Other Exceptional Circumstances

9. In only the most exceptional cases where the exceptional circumstances are sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question, Sub-Boards may recommend to the Graduate School Board of Examiners that:
  - (i) the student's result(s) in the affected assessment(s) be discounted, and that they be allowed to resit<sup>1</sup>.
  - (ii) the student's result(s) in the affected assessment(s) not be discounted, but that they be allowed an exceptional additional attempt<sup>1</sup>.
  - (iii) the student be awarded a degree, or higher class of degree. Sub-Boards may not make this recommendation for a student who has made no attempt at a summative assessment, as set out in the General Academic Regulations.

## 48 School Regulations

10. The Graduate School Board of Examiners shall be the sole authority in deciding whether to uphold such recommendations.

### The Award of a Degree

11. A student awarded a degree will be awarded a Pass, Merit or Distinction.

### Schedule to the Regulations for Taught Masters Degrees

The powers of the School set out in these Regulations shall be exercisable as follows:

Regulation	Powers exercisable by
9, 10	The appropriate Sub-Board of Examiners

### Footnote

- <sup>1</sup> Sub-Boards of Examiners may also recommend under paragraphs 9 (i) and (ii) that the student may, where relevant and appropriate, progress into the next year of study.

See the [Calendar](#) for further information about Programme Regulations, Course Guides, School and academic Regulations.

# SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE FOR STUDENTS FROM THE ACADEMIC YEAR 2020/21: FOUR UNIT PROGRAMMES

*This Classification Scheme is approved by the Graduate School Board of Examiners.*

*Last updated: August 2022*

This scheme should be read in conjunction with the [General Academic Regulations for Postgraduate Students](#), the [Regulations for Taught Master's Degrees](#), the relevant [taught master's degree programme regulations](#), the relevant on-line [taught master's course guides](#), the [Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment](#) and the [Addendum - Regulations for 2021/22 updated in response to COVID-19](#).

## 1. Mark and Grade for a Course and Eligibility for Award

- 1.1 The examiners for each course will decide a numerical mark for each student using the following scale:

Grade	Mark
Distinction	70 – 100
Merit	60 – 69
Pass	50 – 59
Fail	(x+1) – 49
Bad Fail	0 – x

- 1.2 Each department will specify the Bad Fail mark to the value of x as either 19, 29 or 39 for all its courses. The School will publish a list of **Bad Fail marks** in the **Calendar** and in Departmental student handbooks.
- 1.3 The grade of Bad Fail will be used internally to indicate when a fail cannot be compensated and, therefore, must be re-attempted. The Grade of Bad Fail will not appear on official transcripts.
- 1.4 In order to be eligible for a degree, a student must have submitted all elements of assessment (e.g. coursework, exams, group work etc.) required for each course as listed in the corresponding **programme regulations**.
- 1.5 A student who makes no attempt at an element of summative assessment for a course, as set out in the [General Academic Regulations for Postgraduate Students](#), will be considered not to have completed the course and will be marked as "Absent" or "Incomplete". An Absent or Incomplete mark will count as one of the two attempts allowed to pass the course. Therefore, students must follow to the School's **deferral** or **extension request** procedures if they are unable to attempt an assessment.
- 1.6 A student will normally be awarded a degree at the first point at which they become eligible, subject to section 3.1.5 below.

## 2. Calculation of the Award<sup>1</sup>

- 2.1 The Sub-Board of Examiners can designate a course or courses as being critical to assessment for a programme and establish '**local rules**'<sup>2</sup> where the specific course(s) and/or marks will be given special consideration in the awarding of the degree. These **local rules**<sup>2</sup> will be published in the **Calendar** and in Departmental student handbooks.
- 2.2 The classification of each student will be based on eight classification marks, with full-unit marks counted twice and half unit marks counted once. Fail marks are not considered as classification marks for the purpose of calculating an award under section 2.4 below, an award aggregate<sup>3</sup> as defined by 'local rules'<sup>2</sup>, or a compensation aggregate<sup>3</sup>
- 2.3 In all cases, the classification marks will be based on marks obtained by the student at their latest attempt at each course.
- 2.4 The overall classification of an award will be calculated as follows, subject to the penalty rules for failed courses in section 4 and the application of any **local rules**<sup>2</sup>:
- 2.4.1 For the award of Distinction: at least half i.e. four or more classification marks must be at Distinction level; or
- 2.4.2 For the award of Merit: at least half i.e. four or more classification marks must be at Merit level or Distinction level; or
- 2.4.3 For the award of Pass:
- 2.4.3.1 At least Pass grades to the value of seven classification marks; or
- 2.4.3.2 At least Pass grades to the value of six classification marks with compensation for the failed course(s) as described under section 3.

### 3. Fail Marks and Compensation

- 3.1 Where a student receives a Fail mark in any course, the following penalty rules will apply:
  - 3.1.1 A **Bad Fail mark** in any course of any unit value will result in the need to resubmit all failed assessments (which might include resitting an exam) in that course. A Bad Fail mark cannot be compensated by other marks.
  - 3.1.2 A Fail (but not a Bad Fail) in a course of 0.5 unit value does not require compensation.
  - 3.1.3 A Fail (but not a Bad Fail) in a course or courses to the value of 1.0 unit will result in the need to resubmit all failed assessments in the failed course(s) unless, compensated either:
    - (i) by a mark of at least 60% in: a) one full unit course; or b) each of two half unit courses; or
    - (ii) by a compensation aggregate<sup>3</sup> mark of 330 in the non-failed courses.
  - 3.1.4 Where a student would normally be eligible for an overall Distinction or Merit award but a Fail mark has to be compensated with other marks, the overall award classification will drop by one classification boundary. Compensated Fail marks will have no further impact where an overall Pass is to be awarded<sup>4</sup>.
  - 3.1.5 Where a student satisfies the compensation rule at 3.1.3 above they have the choice to either be awarded the degree subject to the penalty rule at 3.1.4 above; or to resit the failed course(s) in accordance with section 4 below. A student with compensation will not be provided with the opportunity to resit if they are unable to improve upon the award of an overall Pass at resit.

### 4 Resitting to Achieve an Award

- 4.1 If a student has not been awarded a degree or is eligible to choose not to be classified using the compensation rule under 3.1.4, they will normally be entitled to resubmit any failed assessment(s) within the failed course(s) on one occasion only, in accordance with the **General Academic Regulations for Postgraduate Students**.
- 4.2 Where an assessment is failed and re-taken, the overall grade for the course for which the resit assessment was taken will be capped at Pass for the purposes of calculating the final degree classification. Both the original fail mark and grade and the new mark achieved at resit will be shown on the transcript. Where an assessment is deferred and it is taken as a first attempt, the grade will not be capped.
- 4.3 To be eligible for an award the following students need to resubmit failed assessment(s) or resit a failed exam(s):
  - 4.3.1 Students with any Bad Fail marks (see rule 4.4 below)
  - 4.3.2 Students who fail any course denoted as "critical to assessment" and requiring a pass mark as determined by the Departmental **local rules**<sup>2</sup>
  - 4.3.3 Students with either one unit or two half units at Fail who do not satisfy the compensation rules at 3.1.3 above
  - 4.3.4 Students with more than one unit or two half units at Fail
  - 4.3.5 Students with a deferred assessment - the grade will only be capped if the assessment is not a first attempt
- 4.4 Where an assessment is re-taken as a result of receiving a Bad Fail mark, the overall grade for the course for which the resit assessment is taken will be capped at Pass in accordance with 4.2 above. Additionally, a resit as a result of a Bad Fail mark will result in a drop in the overall award classification where a Distinction or a Merit would otherwise have been awarded. It will have no further impact where a Pass is to be awarded. In cases where a student is required to resit more than one Bad Fail, only one drop in the overall degree classification will be applied. Where a student receives a Bad Fail mark in their second and final attempt at a course they cannot be awarded the degree subject to the application of section 6 below.

### 5 General Proviso

- 5.1 When considering the overall classification for an award it is open to a Sub-Board of Examiners to recommend to the Graduate School Board of Examiners (GSBE) any departure from this Scheme and / or from its **local rules**<sup>2</sup> if, in their judgement, this would be equitable for any individual student as a direct result of a **formal exceptional circumstances submission** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The following conditions must also apply:
  - 5.1.1 that the student is very close to the next higher classification boundary i.e. within three marks in either one or two classification marks (i.e. three marks in one full/half unit or three marks in each of two half units) or ten marks on aggregate<sup>3</sup>;
  - 5.1.2 that the student has marks in that higher classification range;
  - 5.1.3 that the student has demonstrated that the assessment or set of assessments in question were significantly affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question;

5.1.4 that the student has demonstrated that their performance in the affected assessment(s) was significantly out of line with their performance in other, unaffected assessments.

## 6 Discounting Fail or Zero marks

6.1 It is open to a Sub-Board of Examiners to recommend to the GSBE that a Fail, Incomplete or Absent mark be discounted (treated as a deferral) if, in their judgement, this would be equitable for any individual student as a direct result of a **formal exceptional circumstances submission** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The conditions set out at 5.1.3 and 5.1.4 above will need to apply.

## Footnotes

- <sup>1</sup> Capped resit grades and a maximum capped mark of 50 will be used for the purposes of award and aggregate calculation while uncapped resit marks will be used for the purposes of calculating the compensation aggregate required to achieve an award
- <sup>2</sup> Each Sub-Board of Examiners will establish clear **local rules** regarding: (i) any course(s) designated as 'critical to assessment' and (ii) if the overall classification of a Distinction or Merit award will be determined by any other criteria in addition to sections 2.4.1 and 2.4.2. The School will publish a list of **local rules** in the Calendar. Each Sub-Board will also ensure its **local rules** are published in the relevant departmental student handbook(s).
- <sup>3</sup> The aggregate for each student is the sum of the relevant classification marks.
- <sup>4</sup> In cases where a student could potentially incur more than one drop in the overall award calculation, e.g. resitting a Bad Fail and subsequently requiring compensation in order to be awarded, only one drop in the overall award calculation will be applied.

# SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE FOR STUDENTS FROM THE ACADEMIC YEAR 2020/21: FIVE UNIT PROGRAMMES

*This Classification Scheme is approved by the Graduate School Board of Examiners.*

*Last updated: August 2022*

This scheme should be read in conjunction with the General Academic Regulations for Postgraduate Students, the Regulations for Taught Master's Degrees, the relevant taught master's degree programme regulations, the relevant on-line taught master's course guides, the Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment and the Addendum - Regulations for 2021/22 updated in response to COVID-19.

## 1. Mark and Grade for a Course and Eligibility for Award

- 1.1 The examiners for each course will decide a numerical mark for each student using the following scale:

Grade	Mark
Distinction	70 – 100
Merit	60 – 69
Pass	50 – 59
Fail	(x+1) – 49
Bad Fail	0 – x

- 1.2 Each department will specify the Bad Fail mark to the value of x as either 19, 29 or 39 for all its courses. The School will publish a list of **Bad Fail marks** in the **Calendar** and in Departmental student handbooks.
- 1.3 The grade of Bad Fail will be used internally to indicate when a fail cannot be compensated and, therefore, must be re-attempted. The Grade of Bad Fail will not appear on official transcripts.
- 1.4 In order to be eligible for a degree, a student must have submitted all elements of assessment (e.g. coursework, exams, group work etc.) required for each course as listed in the corresponding **programme regulations**.
- 1.5 A student who makes no attempt at an element of summative assessment for a course, as set out in the General Academic Regulations for Postgraduate Students, will be considered not to have completed the course and will be marked as "Absent" or "Incomplete". An Absent or Incomplete mark will count as one of the two attempts allowed to pass the course. Therefore, students must follow to the School's **deferral** or **extension request** procedures if they are unable to attempt an assessment.
- 1.6 A student will normally be awarded a degree at the first point at which they become eligible, subject to section 3.1.5 below.

## 2. Calculation of the Award<sup>1</sup>

- 2.1 The Sub-Board of Examiners can designate a course or courses as being critical to assessment for a programme and establish '**local rules**'<sup>2</sup> where the specific course(s) and/or marks will be given special consideration in the awarding of the degree. These **local rules**<sup>2</sup> will be published in the **Calendar** and in Departmental student handbooks.
- 2.2 The classification of each student will be based on ten classification marks, with full-unit marks counted twice and half unit marks counted once. Fail marks are not considered as classification marks for the purpose of calculating an award under section 2.4 below, an award aggregate<sup>3</sup> as defined by '**local rules**'<sup>2</sup>, or a compensation aggregate<sup>3</sup>
- 2.3 In all cases, the classification marks will be based on marks obtained by the student at their latest attempt at each course.
- 2.4 The overall classification of an award will be calculated as follows, subject to the penalty rules for failed courses in section 4 and the application of any **local rules**<sup>2</sup>:
- 2.4.1 For the award of Distinction: at least half i.e. five or more classification marks must be at Distinction level; or
- 2.4.2 For the award of Merit: at least half i.e. five or more classification marks must be at Merit level or Distinction level; or
- 2.4.3 For the award of Pass:
- 2.4.3.1 At least Pass grades to the value of nine classification marks; or
- 2.4.3.2 At least Pass grades to the value of eight classification marks with compensation for the failed course(s) as described under section 3.



### 3. Fail Marks and Compensation

- 3.1 Where a student receives a Fail mark in any course, the following penalty rules will apply:
- 3.1.1 A **Bad Fail mark** in any course of any unit value will result in the need to resubmit all failed assessments (which might include resitting an exam) in that course. A Bad Fail mark cannot be compensated by other marks.
  - 3.1.2 A Fail (but not a Bad Fail) in a course of 0.5 unit value does not require compensation.
  - 3.1.3 A Fail (but not a Bad Fail) in a course or courses to the value of 1.0 unit will result in the need to resubmit all failed assessments in the failed course(s) unless, compensated either:
    - (i) by a mark of at least 60% in: a) one full unit course; or b) each of two half unit courses; or
    - (ii) by a compensation aggregate<sup>3</sup> mark of 440 in the non-failed courses.
  - 3.1.4 Where a student would normally be eligible for an overall Distinction or Merit award but a Fail mark has to be compensated with other marks, the overall award classification will drop by one classification boundary. Compensated Fail marks will have no further impact where an overall Pass is to be awarded<sup>4</sup>.
  - 3.1.5 Where a student satisfies the compensation rule at 3.1.3 above they have the choice to either be awarded the degree subject to the penalty rule at 3.1.4 above; or to resit the failed course(s) in accordance with section 4 below. A student with compensation will not be provided with the opportunity to resit if they are unable to improve upon the award of an overall Pass at resit.

### 4 Resitting to Achieve an Award

- 4.1 If a student has not been awarded a degree or is eligible to choose not to be classified using the compensation rule under 3.1.4, they will normally be entitled to resubmit any failed assessment(s) within the failed course(s) on one occasion only, in accordance with the **General Academic Regulations for Postgraduate Students**.
- 4.2 Where an assessment is failed and re-taken, the overall grade for the course for which the resit assessment was taken will be capped at Pass for the purposes of calculating the final degree classification. Both the original fail mark and grade and the new mark achieved at resit will be shown on the transcript. Where an assessment is deferred and it is taken as a first attempt, the grade will not be capped.
- 4.3 To be eligible for an award the following students need to resubmit failed assessment(s) or resit a failed exam(s):
  - 4.3.1 Students with any Bad Fail marks (see rule 4.4 below)
  - 4.3.2 Students who fail any course denoted as "critical to assessment" and requiring a pass mark as determined by the Departmental **local rules**<sup>2</sup>
  - 4.3.3 Students with either one unit or two half units at Fail who do not satisfy the compensation rules at 3.1.3 above
  - 4.3.4 Students with more than one unit or two half units at Fail
  - 4.3.5 Students with a deferred assessment - the grade will only be capped if the assessment is not a first attempt
- 4.4 Where an assessment is re-taken as a result of receiving a Bad Fail mark, the overall grade for the course for which the resit assessment is taken will be capped at Pass in accordance with 4.2 above. Additionally, a resit as a result of a Bad Fail mark will result in a drop in the overall award classification where a Distinction or a Merit would otherwise have been awarded. It will have no further impact where a Pass is to be awarded. In cases where a student is required to resit more than one Bad Fail, only one drop in the overall degree classification will be applied. Where a student receives a Bad Fail mark in their second and final attempt at a course they cannot be awarded the degree subject to the application of section 6 below.

### 5 General Proviso

- 5.1 When considering the overall classification for an award it is open to a Sub-Board of Examiners to recommend to the Graduate School Board of Examiners (GSBE) any departure from this Scheme and / or from its **local rules**<sup>2</sup> if, in their judgement, this would be equitable for any individual student as a direct result of a **formal exceptional circumstances submission** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The following conditions must also apply:
  - 5.1.1 that the student is very close to the next higher classification boundary i.e. within three marks in either one or two classification marks (i.e. three marks in one full/half unit or three marks in each of two half units) or ten marks on aggregate<sup>3</sup>;
  - 5.1.2 that the student has marks in that higher classification range;
  - 5.1.3 that the student has demonstrated that the assessment or set of assessments in question were significantly affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question;

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5.1.4 that the student has demonstrated that their performance in the affected assessment(s) was significantly out of line with their performance in other, unaffected assessments.

### 6 Discounting Fail or Zero marks

6.1 It is open to a Sub-Board of Examiners to recommend to the GSBE that a Fail, Incomplete or Absent mark be discounted (treated as a deferral) if, in their judgement, this would be equitable for any individual student as a direct result of a **formal exceptional circumstances submission** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The conditions set out at 5.1.3 and 5.1.4 above will need to apply.

### Footnotes

- <sup>1</sup> Capped resit grades and a maximum capped mark of 50 will be used for the purposes of award and aggregate calculation while uncapped resit marks will be used for the purposes of calculating the compensation aggregate required to achieve an award
- <sup>2</sup> Each Sub-Board of Examiners will establish clear **local rules** regarding: (i) any course(s) designated as 'critical to assessment' and (ii) if the overall classification of a Distinction or Merit award will be determined by any other criteria in addition to sections 2.4.1 and 2.4.2. The School will publish a list of **local rules** in the Calendar. Each Sub-Board will also ensure its **local rules** are published in the relevant departmental student handbook(s).
- <sup>3</sup> The aggregate for each student is the sum of the relevant classification marks.
- <sup>4</sup> In cases where a student could potentially incur more than one drop in the overall award calculation, e.g. resitting a Bad Fail and subsequently requiring compensation in order to be awarded, only one drop in the overall award calculation will be applied.

# SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE FOR STUDENTS FROM THE ACADEMIC YEAR 2020/21: EIGHT UNIT PROGRAMMES

*This Classification Scheme is approved by the Graduate School Board of Examiners.*

*Last updated: July 2022*

This scheme should be read in conjunction with the General Academic Regulations for Postgraduate Students, the Regulations for Taught Master's Degrees, the relevant taught master's degree programme regulations, the relevant on-line taught master's course guides, the Code of Good Practice for Undergraduate, Diploma and Postgraduate Programmes: Teaching, Learning and Assessment and the Addendum - Regulations for 2020/21 updated in response to COVID-19.

## 1. Mark and Grade for a Course and Eligibility for Award

- 1.1 The examiners for each course will decide a numerical mark for each student using the following scale:

Grade	Mark
Distinction	70 – 100
Merit	60 – 69
Pass	50 – 59
Fail	(x+1) – 49
Bad Fail	0 – x

- 1.2 Each department will specify the Bad Fail mark to the value of x as either 19, 29 or 39 for all its courses. The School will publish a list of **Bad Fail marks** in the **Calendar** and in Departmental student handbooks.
- 1.3 The grade of Bad Fail will be used internally to indicate when a fail cannot be compensated and, therefore, must be re-attempted. The Grade of Bad Fail will not appear on official transcripts.
- 1.4 In order to be eligible for a degree, a student must have submitted all elements of assessment (e.g. coursework, exams, group work etc.) required for each course as listed in the corresponding **programme regulations**.
- 1.5 A student who makes no attempt at an element of summative assessment for a course, as set out in the General Academic Regulations for Postgraduate Students, will be considered not to have completed the course and will be marked as "Absent" or "Incomplete". An Absent or Incomplete mark will count as one of the two attempts allowed to pass the course. Therefore, students must follow to the School's **deferral** or **extension request** procedures if they are unable to attempt an assessment.
- 1.6 A student will normally be awarded a degree at the first point at which they become eligible, subject to section 3.1.5 below.

## 2. Calculation of the Award<sup>1</sup>

- 2.1 The Sub-Board of Examiners can designate a course or courses as being critical to assessment for a programme and establish '**local rules**'<sup>2</sup> where the specific course(s) and/or marks will be given special consideration in the awarding of the degree. These **local rules**<sup>2</sup> will be published in the **Calendar** and in Departmental student handbooks.
- 2.2 The classification of each student will be based on sixteen classification marks, with full-unit marks counted twice and half unit marks counted once. Fail marks are not considered as classification marks for the purpose of calculating an award under section 2.4 below, an award aggregate<sup>3</sup> as defined by 'local rules'<sup>2</sup>, or a compensation aggregate<sup>3</sup>.
- 2.3 In all cases, the classification marks will be based on marks obtained by the student at their latest attempt at each course.
- 2.4 The overall classification of an award will be calculated as follows, subject to the penalty rules for failed courses in section 4 and the application of any **local rules**<sup>2</sup>:
- 2.4.1 For the award of Distinction: at least half i.e. eight or more classification marks must be at Distinction level; or
- 2.4.2 For the award of Merit: at least half i.e. eight or more classification marks must be at Merit level or Distinction level; or
- 2.4.3 For the award of Pass:
- 2.4.1.1 At least Pass grades to the value of fourteen classification marks; or
- 2.4.1.2 At least Pass grades to the value of thirteen classification marks with compensation for the failed course(s) as described under section 3.

### 3. Fail Marks and Compensation

- 3.1 Where a student receives a Fail mark in any course, the following penalty rules will apply:
  - 3.1.1 A **Bad Fail mark** in any course of any unit value will result in the need to resubmit all failed assessments (which might include resitting an exam) in that course. A Bad Fail mark cannot be compensated by other marks.
  - 3.1.2 A Fail (but not a Bad Fail) in a course or courses totalling 0.5 or 1.0 unit value does not require compensation.
  - 3.1.3 A Fail (but not a Bad Fail) in a course or courses to the value of 1.5 or 2 units will result in the need to resubmit all failed assessments in the failed course(s) unless, compensated either:
    - (i) by a mark of at least 60% in courses of an equivalent value. For the avoidance of doubt, a mark of at least 60 is required in each course providing compensation; or
    - (ii) by a compensation aggregate<sup>3</sup> mark of 660 in the non-failed courses.
  - 3.1.4 Where a student would normally be eligible for an overall Distinction or Merit award but a Fail mark has to be compensated with other marks, the overall award classification will drop by one classification boundary. Compensated Fail marks will have no further impact where an overall Pass is to be awarded<sup>4</sup>.
  - 3.1.5 Where a student satisfies the compensation rule at 3.1.3 above they have the choice to either be awarded the degree subject to the penalty rule at 3.1.4 above; or to resit the failed course(s) in accordance with section 4 below. A student with compensation will not be provided with the opportunity to resit if they are unable to improve upon the award of an overall Pass at resit.

### 4 Resitting to Achieve an Award

- 4.1 If a student has not been awarded a degree or is eligible to choose not to be classified using the compensation rule under 3.1.4, they will normally be entitled to resubmit any failed assessment(s) within the failed course(s) on one occasion only, in accordance with the **General Academic Regulations for Postgraduate Students**.
- 4.2 Where an assessment is failed and re-taken, the overall grade for the course for which the resit assessment was taken will be capped at Pass for the purposes of calculating the final degree classification. Both the original fail mark and grade and the new mark achieved at resit will be shown on the transcript. Where an assessment is deferred and it is taken as a first attempt, the grade will not be capped.
- 4.3 To be eligible for an award the following students need to resubmit failed assessment(s) or resit a failed exam(s):
  - 4.3.1 Students with any Bad Fail marks (see rule 4.4 below)
  - 4.3.2 Students who fail any course denoted as "critical to assessment" and requiring a pass mark as determined by the Departmental **local rules**<sup>2</sup>
  - 4.3.3 Students with either one unit or two half units at Fail who do not satisfy the compensation rules at 3.1.3 above
  - 4.3.4 Students with more than one unit or two half units at Fail
  - 4.3.5 Students with a deferred assessment - the grade will only be capped if the assessment is not a first attempt
- 4.4 Where an assessment is re-taken as a result of receiving a Bad Fail mark, the overall grade for the course for which the resit assessment is taken will be capped at Pass in accordance with 4.2 above. Additionally, a resit as a result of a Bad Fail mark will result in a drop in the overall award classification where a Distinction or a Merit would otherwise have been awarded. It will have no further impact where a Pass is to be awarded. In cases where a student is required to resit more than one Bad Fail, only one drop in the overall degree classification will be applied. Where a student receives a Bad Fail mark in their second and final attempt at a course they cannot be awarded the degree subject to the application of section 6 below.

### 5 General Proviso

- 5.1 When considering the overall classification for an award it is open to a Sub-Board of Examiners to recommend to the Graduate School Board of Examiners (GSBE) any departure from this Scheme and / or from its **local rules**<sup>2</sup> if, in their judgement, this would be equitable for any individual student as a direct result of a **formal exceptional circumstances submission** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The following conditions must also apply:
  - 5.1.1 that the student is very close to the next higher classification boundary i.e. within three marks in either one or two classification marks (i.e. three marks in one full/half unit or three marks in each of two half units) or ten marks on aggregate<sup>3</sup>;
  - 5.1.2 that the student has marks in that higher classification range;
  - 5.1.3 that the student has demonstrated that the assessment or set of assessments in question were

significantly affected by exceptional circumstances that were sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question;

- 5.1.4 that the student has demonstrated that their performance in the affected assessment(s) was significantly out of line with their performance in other, unaffected assessments.

## 6 Discounting Fail or Zero marks

- 6.1 It is open to a Sub-Board of Examiners to recommend to the GSBE that a Fail, Incomplete or Absent mark be discounted (treated as a deferral) if, in their judgement, this would be equitable for any individual student as a direct result of a **formal exceptional circumstances submission** to the Student Services Centre. Such circumstances would need to be extraneous to the normal assessment process and would apply to that student only. The conditions set out at 5.1.3 and 5.1.4 above will need to apply.

### Footnotes

- <sup>1</sup> Capped resit grades and a maximum capped mark of 50 will be used for the purposes of award and aggregate calculation while uncapped resit marks will be used for the purposes of calculating the compensation aggregate required to achieve an award
- <sup>2</sup> Each Sub-Board of Examiners will establish clear **local rules** regarding: (i) any course(s) designated as 'critical to assessment' and (ii) if the overall classification of a Distinction or Merit award will be determined by any other criteria in addition to sections 2.4.1 and 2.4.2. The School will publish a list of **local rules** in the Calendar. Each Sub-Board will also ensure its **local rules** are published in the relevant departmental student handbook(s).
- <sup>3</sup> The aggregate for each student is the sum of the relevant classification marks.
- <sup>4</sup> In cases where a student could potentially incur more than one drop in the overall award calculation, e.g. resitting a Bad Fail and subsequently

## BAD FAIL MARKS FOR TAUGHT MASTERS DEGREES AND EXECUTIVE PROGRAMMES

The following table indicates the Bad Fail mark for all Post Graduate courses offered by each department:

Department	Bad Fail
Accounting (all courses prefixed with 'AC')	29 (39 for students starting before 2019/20)
Anthropology (all courses prefixed with 'AN')	29
Economic History (all courses prefixed with 'EH')	39
Economics (all courses prefixed with 'EC' except EC4B3, EC4V8 and EC4B4)	29 (19 for students starting before 2010/11)
Economics (EC4B3, EC4V8 and EC4B4 only)	39
Employment Relations and Organisational Behaviour Group (all courses prefixed with 'ID')	29 (39 for students starting before 2012/13)
European Institute (all courses prefixed with 'EU')	39
Finance (all courses prefixed with 'FM') To note: FM436, FM437, FM481, FM482, FM502 and FM503 Bad Fail mark was 19 for students starting before 2012/13	29 (39 for students starting before 2017/18)
Department of Gender Studies (all courses prefixed with 'GI')	39
Geography and Environment (all courses prefixed with 'GY')	39
Government (all courses prefixed with 'GV')	39
Health Policy (all courses prefixed with 'HP')	39
International Development (all courses prefixed with 'DV')	39
International History (all courses prefixed with 'HY')	39
Information Systems and Innovation Group (all courses prefixed with 'IS')	29 (39 for students starting before 2012/13)
International Relations (all courses prefixed with 'IR')	39
Law (all courses prefixed with 'LL')	39
Management (all courses prefixed with 'MG', other than MG411, MG412, MG413, MG417, MG431, MG406E, MG407E, MG4K3, MG4K4 and MG4V8)	29 (39 for students starting before 2012/13)
Management (MG411, MG412, MG413, MG417 and MG431 only)	29 (19 for students starting before 2012/13)
Management (MG406E, MG407E, MG4K3, MG4K4 and MG4V8 only)	39
Management Economics and Strategy Group (all courses prefixed with 'MN')	29
Management Science Group (all courses prefixed with 'OR')	29 (19 for students starting before 2012/13)
Mathematics (all courses prefixed with 'MA', other than MA425, MA426 and MA498)	19
Mathematics (MA425, MA426)	39 (19 for students starting before 2018/19)
Mathematics (MA498 only)	39 (19 for students starting before 2015/16)
Media and Communication (all courses prefixed with 'MC')	39
Methodology (all courses prefixed with 'MY')	29
Philosophy (all courses prefixed with 'PH', other than PH419)	39
Philosophy (PH419 only)	29 (39 for students starting before 2012/13)
Psychological and Behavioural Science (all courses prefixed with "PS" for students starting before 2018/19. All courses pre-fixed with "PB" from 2018/19)	29
School of Public Policy: for students starting before 2018/19 see Departmental Bad Fail marks as indicated in this table.	-
School of Public Policy: for students starting in 2018/19 (all courses prefixed with "PP" other than PP440, PP455, PP419, PP418, PP410, PP452, PP454, PP4X6, PP455E, PP440E, PP421E, PP410E, PP454E)	39
School of Public Policy for students starting in 2018/19 (PP440, PP455, PP419, PP418, PP410, PP452, PP454, PP4X6, PP455E, PP440E, PP421E, PP410E, PP454E only)	29

Social Policy (all courses prefixed with 'SP')	39
Sociology (all courses prefixed with 'SO')	39
Statistics (all courses prefixed with 'ST')	19

See the [Calendar](#) for further information about Programme Regulations, Course Guides, School and academic Regulations.



## EXAM SUB-BOARD LOCAL RULES: 2022/23

### DEPARTMENT OF ACCOUNTING

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MRES/PHD IN ACCOUNTING (AOI) (ACCOUNTING, ORGANISATIONS AND INSTITUTIONS TRACK)**

**MRES/PHD IN ACCOUNTING (EOA) (ECONOMICS OF ACCOUNTING TRACK)**

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**MSC ACCOUNTING AND FINANCE**

**MSC ACCOUNTING, ORGANISATIONS AND INSTITUTIONS**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MRES/PHD IN ACCOUNTING (AOI) (ACCOUNTING, ORGANISATIONS AND INSTITUTIONS TRACK)**

**MRES/PHD IN ACCOUNTING (EOA) (ECONOMICS OF ACCOUNTING TRACK)**

1. **Course(s) critical to assessment:** Students must pass AC599 to be awarded the degree
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None

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### DEPARTMENT OF ANTHROPOLOGY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC ANTHROPOLOGY AND DEVELOPMENT**

**MSC ANTHROPOLOGY AND DEVELOPMENT MANAGEMENT**

**MSC CHINA IN COMPARATIVE PERSPECTIVE**

**MSC SOCIAL ANTHROPOLOGY**

**MSC SOCIAL ANTHROPOLOGY (RELIGION IN THE CONTEMPORARY WORLD)**

The following programme(s) do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**MRES/PHD ANTHROPOLOGY**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC ANTHROPOLOGY AND DEVELOPMENT**

**MSC ANTHROPOLOGY AND DEVELOPMENT MANAGEMENT**

**MSC CHINA IN COMPARATIVE PERSPECTIVE**

**MSC SOCIAL ANTHROPOLOGY**

**MSC SOCIAL ANTHROPOLOGY (RELIGION IN THE CONTEMPORARY WORLD)**

1. **Course(s) critical to assessment:** Students must pass specific core course to be awarded the degree:

**MSC ANTHROPOLOGY AND DEVELOPMENT - AN436**

**MSC ANTHROPOLOGY AND DEVELOPMENT MANAGEMENT - AN436**

**MSC CHINA IN COMPARATIVE PERSPECTIVE - AN447**

**MSC SOCIAL ANTHROPOLOGY - AN404**

**MSC SOCIAL ANTHROPOLOGY (RELIGION IN THE CONTEMPORARY WORLD) - AN402**

2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None

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## DEPARTMENT OF ECONOMICS

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN ECONOMETRICS AND MATHEMATICAL ECONOMICS**

**MSC IN ECONOMICS**

**MSC IN ECONOMICS (2-YEAR PROGRAMME)**

The following programme(s) do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**MRES/PHD IN ECONOMICS**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC IN ECONOMETRICS AND MATHEMATICAL ECONOMICS**

**MSC IN ECONOMICS**

**MSC IN ECONOMICS (2-YEAR PROGRAMME)**

1. **Course(s) critical to assessment:** None
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score of 560. Merit if the student has achieved an aggregate score of 480.

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## DEPARTMENT OF ECONOMIC HISTORY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MRES/PHD IN QUANTITATIVE ECONOMIC HISTORY**

**MA IN GLOBAL STUDIES: A EUROPEAN PERSPECTIVE**

**MSC IN ECONOMIC HISTORY**

**MSC IN ECONOMIC HISTORY (RESEARCH)**

**MSC IN FINANCIAL HISTORY**

**MSC IN GLOBAL ECONOMIC HISTORY (ERASMUS MUNDUS)**

**MSC IN POLITICAL ECONOMY OF LATE DEVELOPMENT**

**MSC IN QUANTITATIVE ECONOMIC HISTORY**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MA IN GLOBAL STUDIES: A EUROPEAN PERSPECTIVE**

**MRES/PHD IN QUANTITATIVE ECONOMIC HISTORY**

**MSC IN ECONOMIC HISTORY**

**MSC IN FINANCIAL HISTORY**

**MSC IN GLOBAL ECONOMIC HISTORY (ERASMUS MUNDUS)**

**MSC IN POLITICAL ECONOMY OF LATE DEVELOPMENT**

**MSC IN QUANTITATIVE ECONOMIC HISTORY**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students are required to achieve Distinction marks in more than half of their degree (i.e. 2.5 units or more) in order to be awarded a Distinction overall. Students are required to achieve Merit marks in more than half of their degree (i.e. 2.5 units) in order to be awarded a Merit overall.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN ECONOMIC HISTORY (RESEARCH)**

1. **Course(s) critical to assessment:** None
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students are required to achieve Distinction marks in more than half of their degree (i.e. 3 units or more) in order to be awarded a Distinction overall.  
Students are required to achieve Merit marks in more than half of their degree (i.e. 3 units) in order to be awarded a Merit overall.

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## EUROPEAN INSTITUTE

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

### **MSC IN EUROPEAN STUDIES (RESEARCH)**

### **MSC IN INTERNATIONAL MIGRATION AND PUBLIC POLICY**

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

### **MSC IN CULTURE AND CONFLICT IN A GLOBAL EUROPE**

### **MSC IN CULTURE AND CONFLICT IN A GLOBAL EUROPE (LSE AND SCIENCES PO)**

### **MSC EUROPEAN AND INTERNATIONAL PUBLIC POLICY**

### **MSC IN EUROPEAN AND INTERNATIONAL PUBLIC POLICY (LSE AND SCIENCES PO)**

### **LSE BOCCONI DOUBLE DEGREE IN EUROPE AND INTERNATIONAL PUBLIC POLICY AND POLITICS**

### **MSC IN POLITICAL ECONOMY OF EUROPE (LSE AND FUDAN)**

### **MSC IN POLITICAL ECONOMY OF EUROPE**

### **MSC IN POLITICAL ECONOMY OF EUROPE (LSE AND SCIENCES PO)**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme:

### **MSC IN EUROPEAN STUDIES (RESEARCH)**

1. **Course(s) critical to assessment:** Students must pass either MY4M1 or MY4M2 in order to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must pass the dissertation/policy incubator course to be awarded a Distinction overall.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN INTERNATIONAL MIGRATION AND PUBLIC POLICY**

1. **Course(s) critical to assessment:** None.
2. **Distinction/Merit borderline (scheme paragraph 3.3.2):** Students must pass the dissertation course (EU499) to be awarded a Distinction overall.

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## DEPARTMENT OF FINANCE

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

### **MRES IN FINANCE**

#### **MSC IN FINANCE (FULL-TIME)**

#### **MSC IN FINANCE (FULL-TIME) (WORK PLACEMENT PATHWAY)**

#### **MSC IN FINANCE (PART-TIME)**

#### **MSC IN FINANCE AND ECONOMICS**

#### **MSC IN FINANCE AND ECONOMICS (WORK PLACEMENT PATHWAY)**

#### **MSC IN FINANCE AND PRIVATE EQUITY**

#### **MSC IN FINANCE AND PRIVATE EQUITY (WORK PLACEMENT PATHWAY)**

#### **MSC IN RISK AND FINANCE**

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## DEPARTMENT OF GENDER STUDIES

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant **Classification Scheme**

### **MSC IN GENDER**

#### **MSC IN GENDER, DEVELOPMENT AND GLOBALISATION**

#### **MSC IN GENDER, MEDIA AND CULTURE**

#### **MSC IN GENDER, POLICY AND INEQUALITIES**

#### **MSC IN GENDER (RESEARCH)**

#### **MSC IN GENDER (SEXUALITY)**

#### **MSC IN WOMEN, PEACE AND SECURITY**

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## DEPARTMENT OF GEOGRAPHY AND ENVIRONMENT

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**LSE-PKU DOUBLE DEGREE IN ENVIRONMENTAL POLICY, TECHNOLOGY AND HEALTH**  
**LSE-SCIENCES PO DOUBLE DEGREE IN URBAN POLICY**  
**MSC IN ENVIRONMENT AND DEVELOPMENT**  
**MSC IN ENVIRONMENTAL ECONOMICS AND CLIMATE CHANGE**  
**MSC IN ENVIRONMENTAL POLICY AND REGULATION**  
**MSC IN GEOGRAPHIC DATA SCIENCE**  
**MSC IN HUMAN GEOGRAPHY AND URBAN STUDIES (RESEARCH)**  
**MSC IN LOCAL ECONOMIC DEVELOPMENT**  
**MSC IN REAL ESTATE ECONOMICS AND FINANCE**  
**MSC IN REGIONAL AND URBAN PLANNING STUDIES**  
**MSC IN URBAN POLICY**  
**MSC IN URBANISATION AND DEVELOPMENT**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**LSE-PKU DOUBLE DEGREE IN ENVIRONMENTAL POLICY, TECHNOLOGY AND HEALTH**  
**LSE-SCIENCES PO DOUBLE DEGREE IN URBAN POLICY**  
**MSC IN ENVIRONMENTAL ECONOMICS AND CLIMATE CHANGE**  
**MSC IN ENVIRONMENTAL POLICY AND REGULATION**  
**MSC IN GEOGRAPHIC DATA SCIENCE**  
**MSC IN HUMAN GEOGRAPHY AND URBAN STUDIES (RESEARCH)**  
**MSC IN LOCAL ECONOMIC DEVELOPMENT**  
**MSC IN REAL ESTATE ECONOMICS AND FINANCE**  
**MSC IN REGIONAL AND URBAN PLANNING STUDIES**  
**MSC IN URBANISATION AND DEVELOPMENT**

1. **Course(s) critical to assessment:** None.
  2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students starting in or after the 2020/21 academic year must achieve a Merit in the dissertation course to be awarded a Distinction overall. If Merit is not achieved in the dissertation but the student has otherwise achieved the criteria for an overall Distinction i.e.: at least four CMs of Distinction then student will receive an overall Merit. Students starting in or after the 2020/21 academic year must achieve a Merit in the dissertation course to be awarded a Merit overall. Students starting in or after 2022/23 must achieve at least a Pass in the dissertation to be awarded a Merit overall.
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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN ENVIRONMENT AND DEVELOPMENT (STUDENT(S) THAT OPT IN TO TAKE THE DISSERTATION GY489)**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve a Merit in the dissertation course GY489 to be awarded a Distinction overall.  
 If Merit is not achieved in GY489 but the student has otherwise achieved the criteria for an overall Distinction i.e.: at least four CMs of Distinction then student will receive an overall Merit.  
 Students starting before the 2020/21 academic year must achieve a Merit in GY489 to be awarded a Merit overall. Students starting in or after 2022/23 must achieve at least a Pass in GY489 to be awarded a Merit overall.

### **MSC IN ENVIRONMENT AND DEVELOPMENT (STUDENT(S) THAT OPT OUT OF THE DISSERTATION)**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve a Merit in Both GY473 and GY474 to be awarded a Distinction overall.  
 If Merit is not achieved in Both GY473 and GY474 but the student has otherwise achieved the criteria for an overall Distinction i.e.: at least four CMs of Distinction then student will receive an overall Merit.  
 Students must achieve a Merit in Either GY473 or GY474 to be awarded a Merit overall.

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## DEPARTMENT OF GOVERNMENT

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN COMPARATIVE POLITICS**

**MSC IN CONFLICT STUDIES**

**MSC IN GLOBAL POLITICS**

**LSE-PKU DOUBLE DEGREE IN PUBLIC ADMINISTRATION AND GOVERNMENT**

**MSC IN POLITICAL THEORY**

**MSC IN PUBLIC POLICY AND ADMINISTRATION**

**MSC IN POLITICAL SCIENCE AND POLITICAL ECONOMY**

**MSC IN REGULATION**

The following programme(s) do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**MRES/PHD IN POLITICAL SCIENCE**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC COMPARATIVE POLITICS (ALL STREAMS)**

**MSC CONFLICT STUDIES**

**MSC GLOBAL POLITICS**

**MSC POLITICAL SCIENCE AND POLITICAL ECONOMY**

**MSC POLITICAL THEORY**

**LSE-PKU DOUBLE DEGREE IN PUBLIC ADMINISTRATION AND GOVERNMENT**

**MSC PUBLIC POLICY AND ADMINISTRATION**

**MSC IN REGULATION**

1. **Course(s) critical to assessment:** Students must pass GV499 to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None.

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## DEPARTMENT OF HEALTH POLICY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**EXECUTIVE MSC IN EVALUATION OF HEALTH CARE INTERVENTIONS AND OUTCOMES, IN COLLABORATION WITH NICE**

**EXECUTIVE MSC IN HEALTH ECONOMICS, OUTCOMES AND MANAGEMENT IN CARDIOVASCULAR SCIENCES**

**EXECUTIVE MSC IN HEALTH ECONOMICS, POLICY AND MANAGEMENT**

**EXECUTIVE MSC IN HEALTH ECONOMICS AND POLICY (LSE AND CHICAGO)**

**LSE-LSHTM MSC IN HEALTH POLICY, PLANNING AND FINANCING**

**MSC IN GLOBAL HEALTH POLICY**

**MSC IN HEALTH DATA SCIENCE**

**MSC IN INTERNATIONAL HEALTH POLICY**

**MSC IN INTERNATIONAL HEALTH POLICY (HEALTH ECONOMICS)**

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## DEPARTMENT OF INTERNATIONAL DEVELOPMENT

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN DEVELOPMENT MANAGEMENT**

**MSC IN DEVELOPMENT STUDIES**

**MSC IN HEALTH AND INTERNATIONAL DEVELOPMENT**

**MSC IN INTERNATIONAL DEVELOPMENT AND HUMANITARIAN EMERGENCIES**

The following programme(s) do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**MRES/PHD IN INTERNATIONAL DEVELOPMENT**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC DEVELOPMENT MANAGEMENT**

**MSC DEVELOPMENT STUDIES**

**MSC HEALTH AND INTERNATIONAL DEVELOPMENT**

**MSC INTERNATIONAL DEVELOPMENT AND HUMANITARIAN EMERGENCIES**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve a mark of at least 65 in the Dissertation component of DV410 in order to achieve an overall Distinction.

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## DEPARTMENT OF INTERNATIONAL HISTORY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MA IN MODERN HISTORY**

**MSC IN EMPIRES, COLONIALISM AND GLOBALISATION**

**MSC IN HISTORY OF INTERNATIONAL RELATIONS**

**MSC IN INTERNATIONAL AND ASIAN HISTORY**

**MSC IN THEORY AND HISTORY OF INTERNATIONAL RELATIONS**

**LSE-COLUMBIA UNIVERSITY DOUBLE MA DEGREE IN INTERNATIONAL AND WORLD HISTORY**

**LSE-NUS DOUBLE DEGREE MA IN ASIAN AND INTERNATIONAL HISTORY**

**LSE-PKU DOUBLE DEGREE IN MSC INTERNATIONAL AFFAIRS**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MA IN MODERN HISTORY**

**MSC IN EMPIRES, COLONIALISM AND GLOBALISATION**

**MSC IN HISTORY OF INTERNATIONAL RELATIONS**

**MSC IN INTERNATIONAL AND ASIAN HISTORY**

**MSC IN THEORY AND HISTORY OF INTERNATIONAL RELATIONS**

**LSE-COLUMBIA UNIVERSITY DOUBLE MA DEGREE IN INTERNATIONAL AND WORLD HISTORY**

**LSE-NUS DOUBLE DEGREE MA IN ASIAN AND INTERNATIONAL HISTORY**

**LSE-PKU DOUBLE DEGREE IN MSC INTERNATIONAL AFFAIRS**

1. **Course(s) critical to assessment:** Students must pass the dissertation course to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve mark of at least 60 in the dissertation course and pass all International History (HY) coded courses to be awarded a Distinction overall.

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## DEPARTMENT OF INTERNATIONAL RELATIONS

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN INTERNATIONAL POLITICAL ECONOMY**

**MSC IN INTERNATIONAL POLITICAL ECONOMY (RESEARCH)**

**MSC IN INTERNATIONAL POLITICAL ECONOMY (LSE AND SCIENCES PO)**

**MSC IN INTERNATIONAL RELATIONS**

**MSC IN INTERNATIONAL RELATIONS (RESEARCH)**

**MSC IN INTERNATIONAL RELATIONS (LSE AND SCIENCES PO)**

**MSC IN INTERNATIONAL RELATIONS THEORY**

**MSC IN INTERNATIONAL STRATEGY AND DIPLOMACY**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC IN INTERNATIONAL POLITICAL ECONOMY**  
**MSC IN INTERNATIONAL POLITICAL ECONOMY (RESEARCH)**  
**MSC IN INTERNATIONAL POLITICAL ECONOMY (LSE AND SCIENCES PO)**  
**MSC IN INTERNATIONAL RELATIONS**  
**MSC IN INTERNATIONAL RELATIONS (RESEARCH)**  
**MSC IN INTERNATIONAL RELATIONS (LSE AND SCIENCES PO)**  
**MSC IN INTERNATIONAL RELATIONS THEORY**

1. **Course(s) critical to assessment:** Students must pass the dissertation course (IR485/486/499) to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve mark of at least 65 in the dissertation course and achieve an aggregate score of at least 520 to be awarded a Distinction overall. Students are required to achieve Merit marks in more than half of their degree (i.e. at least 2.5 units) to be awarded a Merit overall.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme:

**MSC IN INTERNATIONAL STRATEGY AND DIPLOMACY**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve mark of at least 65 in the dissertation course (IR496E) and achieve an aggregate score of at least 520 to be awarded a Distinction overall. Students are required to achieve Merit marks in more than half of their degree (i.e. at least 2.5 units) to be awarded a Merit overall.

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## DEPARTMENT OF LAW

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**LLM (FULL-TIME)**  
**LLM (EXTENDED PART-TIME)**

The following programme(s) do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**EXECUTIVE LLM**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

### LLM (FULL-TIME)

### LLM (EXTENDED PART-TIME)

1. **Course(s) critical to assessment:** Students must pass LL4F9 to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve mark of at least 60 in LL4F9 to be awarded a Distinction overall.

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## DEPARTMENT OF MANAGEMENT

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

### GLOBAL MSC IN MANAGEMENT

### GLOBAL MSC IN MANAGEMENT (CEMS MIM)

### GLOBAL MSC IN MANAGEMENT (MBA EXCHANGE)

### MSC IN ECONOMICS AND MANAGEMENT

### MSC IN HUMAN RESOURCES AND ORGANISATIONS (HUMAN RESOURCE MANAGEMENT/CIPD)

### MSC IN HUMAN RESOURCES AND ORGANISATIONS (INTERNATIONAL EMPLOYMENT RELATIONS/CIPD)

### MSC IN HUMAN RESOURCES AND ORGANISATIONS (ORGANISATIONAL BEHAVIOUR)

### MSC IN MANAGEMENT AND STRATEGY

### MSC IN MANAGEMENT OF INFORMATION SYSTEMS AND DIGITAL INNOVATION

### MSC IN MARKETING

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

### EXECUTIVE GLOBAL MSC IN MANAGEMENT

### EXECUTIVE MSC IN SOCIAL BUSINESS AND ENTREPRENEURSHIP

### MRES/PHD IN ECONOMICS AND MANAGEMENT

### MRES/PHD IN MANAGEMENT (EMPLOYMENT RELATIONS AND HUMAN RESOURCES)

### MRES/PHD IN MANAGEMENT (MARKETING)

### MRES/PHD IN MANAGEMENT (ORGANISATIONAL BEHAVIOUR)

### MSC IN MANAGEMENT (1 YEAR PROGRAMME)

### MSC IN SOCIAL INNOVATION AND ENTREPRENEURSHIP

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme for students starting in or after the 2022/23 academic year (NB. For students starting prior to 2022/23 there were no local rules for these programmes and awards were based solely on the classification scheme):

### **GLOBAL MSC IN MANAGEMENT (CEMS MIM)**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score over 1120.  
No additional criteria is required for considerations around the award of Merit.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme for students starting in or after the 2022/23 academic year (NB. For students starting prior to 2022/23 there were no local rules for these programmes and awards were based solely on the classification scheme):

### **GLOBAL MSC IN MANAGEMENT**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score over 1120.  
No additional criteria is required for considerations around the award of Merit.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme for students starting in or after the 2022/23 academic year (NB. For students starting prior to 2022/23 there were no local rules for these programmes and awards were based solely on the classification scheme):

### **GLOBAL MSC IN MANAGEMENT (MBA EXCHANGE)**

1. **Course(s) critical to assessment:** None.
  2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score over 1120.  
No additional criteria is required for considerations around the award of Merit.
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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN ECONOMICS AND MANAGEMENT**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score of over 560. Merit if the student has achieved an aggregate score of over 480.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN HUMAN RESOURCES AND ORGANISATIONS (HUMAN RESOURCE MANAGEMENT/CIPD)**

### **MSC IN HUMAN RESOURCES AND ORGANISATIONS (INTERNATIONAL EMPLOYMENT RELATIONS/CIPD)**

### **MSC IN HUMAN RESOURCES AND ORGANISATIONS (ORGANISATIONAL BEHAVIOUR)**

1. **Course(s) critical to assessment:** Students must pass the dissertation course (MG493) to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN MANAGEMENT AND STRATEGY**

1. **Course(s) critical to assessment:** None.
  2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score of at least 560.
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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### MSC IN MARKETING

1. **Course(s) critical to assessment:** None
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve over a merit grade in either MG404, MG4E8 or MG4E9 to be awarded an overall Merit or Distinction.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme:

### MSC IN MANAGEMENT OF INFORMATION SYSTEMS AND DIGITAL INNOVATION

1. **Course(s) critical to assessment:** Students must pass the dissertation course (MG4D7) to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** The overall classification cannot be higher than the result achieved in the dissertation course MG4D7.

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## DEPARTMENT OF MATHEMATICS

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

### MSC IN APPLICABLE MATHEMATICS

### MSC IN FINANCIAL MATHEMATICS

### MSC IN OPERATIONS RESEARCH AND ANALYTICS

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### MSC IN APPLICABLE MATHEMATICS

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score over 520. Merit if the student has achieved an aggregate score over 460.



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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN FINANCIAL MATHEMATICS**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score over 560. Merit if the student has achieved an aggregate score over 480.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN OPERATIONS RESEARCH AND ANALYTICS**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Distinction if the student has achieved an aggregate score over 520. Merit if the student has achieved an aggregate score over 460.

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## DEPARTMENT OF MEDIA AND COMMUNICATIONS

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN GLOBAL MEDIA AND COMMUNICATIONS (LSE AND FUDAN)**

**MSC IN GLOBAL MEDIA AND COMMUNICATIONS (LSE AND UCT)**

**MSC IN GLOBAL MEDIA AND COMMUNICATIONS (LSE AND USC)**

**MSC IN MEDIA AND COMMUNICATIONS**

**MSC IN MEDIA AND COMMUNICATIONS (DATA AND SOCIETY)**

**MSC IN MEDIA AND COMMUNICATIONS (MEDIA AND COMMUNICATIONS GOVERNANCE)**

**MSC IN MEDIA AND COMMUNICATIONS (RESEARCH)**

**MSC IN MEDIA, COMMUNICATION AND DEVELOPMENT**

**MSC IN POLITICS AND COMMUNICATION**

**MSC IN STRATEGIC COMMUNICATIONS**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC IN GLOBAL MEDIA AND COMMUNICATIONS (LSE AND FUDAN)**

**MSC IN GLOBAL MEDIA AND COMMUNICATIONS (LSE AND UCT)**

**MSC IN GLOBAL MEDIA AND COMMUNICATIONS (LSE AND USC)**

**MSC IN MEDIA AND COMMUNICATIONS**

**MSC IN MEDIA AND COMMUNICATIONS (DATA AND SOCIETY)**

**MSC IN MEDIA AND COMMUNICATIONS (MEDIA AND COMMUNICATIONS GOVERNANCE)**

**MSC IN MEDIA, COMMUNICATION AND DEVELOPMENT**

**MSC IN POLITICS AND COMMUNICATION**

**MSC IN STRATEGIC COMMUNICATIONS**

1. **Course(s) critical to assessment:** Students must pass MC499 to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None.

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC IN MEDIA AND COMMUNICATIONS (RESEARCH)**

1. **Course(s) critical to assessment:** Students must pass MC499 and either MC4M2 or MC4M8 to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None.

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## DEPARTMENT OF METHODOLOGY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN SOCIAL RESEARCH METHODS**

The following programme(s) do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**MSC IN APPLIED SOCIAL DATA SCIENCE**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme:

### **MSC IN SOCIAL RESEARCH METHODS**

1. **Course(s) critical to assessment:** A Fail in courses to the value of 1.0 unit which includes a Fail in MY421 and/or MY452 cannot be compensated under rules 3.1.3(i) or 3.1.3(ii), and shall result in an overall Fail.  
Where a student has substituted a more advanced course for MY452 and/or MY421, the above rules shall apply to the substituted course(s) in place of the course(s) they replace. Any such substitution must be approved by both the MSc Programme Director and the Chair of the Sub-Board of Examiners.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** A Fail in either MY421 or MY452 shall result in a drop of one class in the overall award classification where a Distinction or Merit would otherwise have been awarded. It shall have no further impact where a Pass is to be awarded.

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## DEPARTMENT OF PHILOSOPHY, LOGIC AND SCIENTIFIC METHOD

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

### **MSC IN ECONOMICS AND PHILOSOPHY**

### **MSC IN PHILOSOPHY AND PUBLIC POLICY**

### **MSC IN PHILOSOPHY OF SCIENCE**

### **MSC IN PHILOSOPHY OF THE SOCIAL SCIENCES**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN PHILOSOPHY OF SCIENCE**

### **CALBODYCOLOUR>MSC IN PHILOSOPHY OF THE SOCIAL SCIENCES**

### **MSC IN PHILOSOPHY AND PUBLIC POLICY**

1. **Course critical to assessment:** None.
  2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students are required to achieve at least two Distinctions and one Merit to be awarded a Distinction overall.
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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programme:

### **MSC IN ECONOMICS AND PHILOSOPHY**

1. **Course(s) critical to assessment:** None.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students are required to achieve at least 2.5 Distinctions and 1 Merit to be awarded a Distinction overall.

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## DEPARTMENT OF PSYCHOLOGICAL AND BEHAVIOURAL SCIENCE

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

### **EXECUTIVE MSC IN BEHAVIOURAL SCIENCE**

### **MSC IN BEHAVIOURAL SCIENCE**

### **MSC IN ORGANISATIONAL AND SOCIAL PSYCHOLOGY**

### **MSC IN PSYCHOLOGY OF ECONOMIC LIFE**

### **MSC IN SOCIAL AND CULTURAL PSYCHOLOGY**

### **MSC IN SOCIAL AND PUBLIC COMMUNICATION**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **MSC IN BEHAVIOURAL SCIENCE**

### **MSC IN ORGANISATIONAL AND SOCIAL PSYCHOLOGY**

### **MSC IN PSYCHOLOGY OF ECONOMIC LIFE**

### **MSC IN SOCIAL AND CULTURAL PSYCHOLOGY**

### **MSC IN SOCIAL AND PUBLIC COMMUNICATION**

### **FOR STUDENTS STARTING BEFORE THE 2022/23\* ACADEMIC YEAR:**

1. **Course(s) critical to assessment:** Students must pass the dissertation course to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve a Distinction mark in the dissertation course to be awarded a Distinction overall.

Students must achieve a Merit mark in the dissertation course to be awarded a Merit overall.

\*For students starting during the 2021/22 academic year only, for the award of Merit only, there are no local rules and Merit can be awarded according to the classification Scheme. Awards of Distinction must be classified according to the local rule stated above.

**FOR STUDENTS STARTING IN OR AFTER THE 2022/23 ACADEMIC YEAR:**

1. **Course(s) critical to assessment:** None
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Two of the four required Distinction classification marks must be achieved in either the dissertation course or the relevant core course to be awarded a Distinction overall. Core courses from each programme are listed below:

**MSC IN BEHAVIOURAL SCIENCE = PB405**

**MSC IN ORGANISATIONAL AND SOCIAL PSYCHOLOGY = PB402**

**MSC IN PSYCHOLOGY OF ECONOMIC LIFE = PB403**

**MSC IN SOCIAL AND CULTURAL PSYCHOLOGY = PB401**

**MSC IN SOCIAL AND PUBLIC COMMUNICATION = PB404**

## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **EXECUTIVE MSC IN BEHAVIOURAL SCIENCE**

1. **Course(s) critical to assessment:** Students must pass the dissertation course to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve a Distinction mark in the dissertation course to be awarded a Distinction overall.  
Students must achieve a Merit mark in the dissertation course to be awarded a Merit overall.

## SCHOOL OF PUBLIC POLICY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant classification scheme.

**DOUBLE MASTER OF PUBLIC ADMINISTRATION (LSE-COLUMBIA)**

**DOUBLE MASTER OF PUBLIC ADMINISTRATION (LSE-SCIENCES PO)**

**EXECUTIVE MASTER OF PUBLIC ADMINISTRATION**

**EXECUTIVE MASTER OF PUBLIC POLICY**

**EXECUTIVE MSC IN CITIES**

**MASTER OF PUBLIC ADMINISTRATION**

**MASTER OF PUBLIC ADMINISTRATION (LSE AND COLUMBIA)**

**MASTER OF PUBLIC ADMINISTRATION (LSE AND SCIENCES PO)**

**MASTER OF PUBLIC ADMINISTRATION (LSE AND UNIVERSITY OF TORONTO)**

**MASTER OF PUBLIC POLICY**

**MPA DUAL DEGREE**

## DEPARTMENT OF SOCIAL POLICY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN CRIMINAL JUSTICE POLICY**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (DEVELOPMENT)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (MIGRATION)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (NON-GOVERNMENTAL ORGANISATIONS)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (RESEARCH)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (LSE AND FUDAN)**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC IN CRIMINAL JUSTICE POLICY**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (DEVELOPMENT)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (MIGRATION)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (NON-GOVERNMENTAL ORGANISATIONS)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (RESEARCH)**

**MSC IN INTERNATIONAL SOCIAL AND PUBLIC POLICY (LSE AND FUDAN)**

1. **Course(s) critical to assessment:** Students must pass dissertation course to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None.

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## DEPARTMENT OF SOCIOLOGY

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programmes have Exam Sub-Board 'local rules'.

**MSC IN CITY DESIGN AND SOCIAL SCIENCE**

**MSC IN CULTURE AND SOCIETY**

**MSC IN ECONOMY AND SOCIETY (FOR STUDENTS STARTING FROM 2021/22)**

**MSC IN ECONOMY, RISK AND SOCIETY (FOR STUDENTS STARTING BEFORE 2021/22)**

**MSC IN HUMAN RIGHTS**

**MSC IN HUMAN RIGHTS AND POLITICS**

**MSC IN INEQUALITIES AND SOCIAL SCIENCE**

**MSC IN POLITICAL SOCIOLOGY**

**MSC IN SOCIOLOGY**

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## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

**MSC IN CITY DESIGN AND SOCIAL SCIENCE**

**MSC IN CULTURE AND SOCIETY**

**MSC IN ECONOMY AND SOCIETY (FOR STUDENTS STARTING FROM 2021/22)**

**MSC IN ECONOMY, RISK AND SOCIETY (FOR STUDENTS STARTING BEFORE 2021/22)**

**MSC IN HUMAN RIGHTS**

**MSC IN HUMAN RIGHTS AND POLITICS**

**MSC IN INEQUALITIES AND SOCIAL SCIENCE**

**MSC IN POLITICAL SOCIOLOGY**

**MSC IN SOCIOLOGY**

1. **Course(s) critical to assessment:** Students must pass the dissertation/independent project to be awarded the degree.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** Students must achieve mark of 55 or above in specified core course to be awarded a Distinction overall: MSc City Design and Social Science: S0448 MSc Culture and Society: S0434  
**MSC ECONOMY AND SOCIETY: S0425**  
**MSC ECONOMY, RISK AND SOCIETY: S0425**  
**MSC HUMAN RIGHTS: S0424 MSC HUMAN RIGHTS AND POLITICS: S04B1**  
**MSC INEQUALITIES AND SOCIAL SCIENCE: S0478**  
**MSC POLITICAL SOCIOLOGY: S0407**  
**MSC SOCIOLOGY: S0491 OR S0492**

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## DEPARTMENT OF STATISTICS

The Sub-Board of Examiners can set additional criteria for the award of Merit/Distinction. The Sub-Board of Examiners can also designate a course or courses as being critical to assessment for a programme and establish 'local rules' where the specific course(s) and/or marks will be given special consideration in the awarding of the degree.

The following programme has Exam Sub-Board 'local rules':

**LSE-FUDAN DOUBLE MASTER'S IN FINANCIAL STATISTICS AND CHINESE ECONOMY**

The following programmes do not have any Exam Sub-Board 'local rules'. For the programme(s) below the award of the degree is determined by the relevant **Classification Scheme**.

**MSC IN DATA SCIENCE**

**MSC IN QUANTITATIVE METHODS FOR RISK MANAGEMENT**

**MSC IN STATISTICS**

**MSC IN STATISTICS (RESEARCH)**

**MSC IN STATISTICS (FINANCIAL STATISTICS)**

**MSC IN STATISTICS (FINANCIAL STATISTICS) (RESEARCH)**

**MSC IN STATISTICS (SOCIAL STATISTICS)**

**MSC IN STATISTICS (SOCIAL STATISTICS) (RESEARCH)**

## SCHEME FOR THE AWARD OF A TAUGHT MASTER'S DEGREE

Please read the following local rules in conjunction with the relevant scheme paragraph in the **Classification Scheme** for this programme:

These Exam Sub-Board 'local rules' apply to the following programmes:

### **LSE-FUDAN DOUBLE MASTER'S IN FINANCIAL STATISTICS AND CHINESE ECONOMY**

1. **Course(s) critical to assessment:** Courses ST425, ST422 and ST43 are critical to assessment. Students must pass these courses in order to be eligible for an award.
2. **Additional criteria for the award of Merit/Distinction (scheme section 2):** None.



# REGULATIONS FOR RESEARCH DEGREES

*These Regulations are approved by the Academic Board.*

*Last updated: June 2022*

*Where these regulations require a member of the School's staff or a body of the School to act, this authority may be delegated where appropriate.*

*Where these regulations require communication to be 'in writing' this will normally be by email. In accordance with the Conditions of Registration the School will assume that students can open, read, and act upon emails sent to their LSE email account.*

## General

1. These regulations are made subject to the General Academic Regulations of the School and the Conditions of Registration. They apply to every student taking a programme of study leading to the degree of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) in the School.
2. For students registered on an MRes/PhD programme, the Regulations for Taught Masters Degrees will apply for the MRes stage of the programme. Students are also subject to published local regulations which apply for each programme of study leading to a research degree in respect of arrangements for student progression, monitoring, upgrade to PhD and termination of registration. If a conflict occurs between local and School regulations, the School regulations will normally take precedence.

## Research Ethics and Plagiarism

3. All students must ensure their research complies with the School's Research Ethics Policy.
4. Students must make themselves familiar with the School's Regulations on Assessment Offences (of which there are separate versions on plagiarism and other offences) and the School's Statement on Editorial Help.
5. The School reserves the right to submit any part of a thesis to any software designed to identify plagiarism or to take any other steps it considers appropriate to identify possible plagiarism.

## Registration

6. Except where the School has given permission for initial registration for the PhD degree alone, each student will register initially for an MPhil or MRes programme. Such a programme will not result in examination for a PhD unless the student has been upgraded in accordance with regulations 40-45 or, for MRes programmes, in accordance with local regulations.
7. At the discretion of the teaching department and the Research Degrees Subcommittee Chair, students may be exempted for part of the MPhil or PhD programme if they have already begun a programme for that (or an equivalent) degree at another university. This can include exemption from taught course(s) requirement(s), but will not normally include exemption from the School's upgrade requirements.

## Programme length

8. The LSE PhD is a three year degree programme (or part-time equivalent) with an additional year of registration (or part-time equivalent) to complete writing-up.
9. Except by special permission of the Research Degrees Sub Committee the minimum length of the programme will be two calendar years of full-time study or the equivalent in part-time study.
10. The maximum period of registration is four years for full-time and eight years for part-time students. Where a student follows periods of both full- and part-time study the maximum length will be adjusted according to the length of registration spent in each mode.
11. Registration beyond the maximum length is only permitted in exceptional circumstances via application to the PhD Academy and consideration of the Chair of the Research Degrees Sub Committee or appointed nominee.
  - 11.1 Retrospective consideration of issues will not normally be permitted and students are responsible for ensuring issues are raised at the appropriate time.
12. Students enrolled beyond the maximum period of enrolment will be charged full fees for the extension period.
13. Submission of the thesis for examination is required by the School's stated deadline and non-submission will result in de-registration and the candidate no longer being eligible for examination or award.

## Part-time registration

14. LSE PhD programmes are designed to be followed through a programme of full-time study based at LSE, London.
15. Applications for switching to part-time registration can be made by students who need to spread their studies over a longer period if they are in one or more of the following categories, can provide documentary evidence in support of the application and provided appropriate part-time study support can be provided by the School through application of reasonable adjustments:
  - 15.1 employed or self-employed where the employment is in excess of 20 hours per week;
  - 15.2 on the basis of a protected characteristic recognised in the Equality Act 2010 which precludes undertaking

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full-time study; and

15.3 are not restricted by funding or visa conditions related to their registration.

16 Part-time study is 0.5 of a full-time workload and is expected to be based at LSE, London.

### Absence and interrupting registration

17. If a student is absent from the School for longer than 2 weeks other than permitted absences under regulations 18, and 29-35, they should seek approval of their supervisor/department and notification must be provided to the PhD Academy. Absence over four weeks requires approval from the PhD Academy in accordance with relevant regulations.
18. A programme must be followed continuously except by permission of the Research Degrees Subcommittee Chair.
19. Students who want to interrupt their studies must apply in advance for permission to do so and provide the appropriate documentary evidence. Retrospective interruptions will not normally be approved.
20. Where the School has permitted a student to interrupt their studies, no fee will be payable for the period of interruption; and the period will not count towards the period of study required by regulation 9 or allowed by regulation 10. Interruption will not normally be allowed for more than a total of two years overall and will not normally be permitted within the first year of study except where permitted within the LSE Parental Leave Policy for Research Degrees Student

### Registration following a final MPhil/PhD examination

21. Where a student receives an outcome from a final examination that involves a referral for revision (under regulations 76 and 78) and wishes to be registered for this period, they will need to request re-registration from the PhD Academy. Further registration is suitable for candidates requiring continued access to campus facilities and supervision. The PhD Academy may request details of the arrangements for completion of revisions before approving registration for this period.

### Supervision arrangements

22. All students are entitled to a team of at least two supervisors to provide academic support.
23. Irrespective of supervisory arrangements agreed between supervisory team members, one of the supervisors will be responsible for managing progression and meeting regulatory requirements and will be designated lead supervisor for administrative purposes. The other supervisor may also be known as an adviser.
24. The lead supervisor will
  - 24.1 have knowledge of a student's subject area and theoretical approach;
  - 24.2 be a permanent member of the academic staff of the School<sup>1</sup>;
  - 24.3 have passed major review;
  - 24.4 usually be assigned for the duration of a student's programme;
  - 24.5 be responsible in a lead capacity for no more than eight supervisees.
25. The supervisory team must be confirmed by the end of a student's first term of registration on the PhD programme.
26. Supervision is normally expected to be provided by LSE faculty. Where circumstances mean that suitable supervision from within LSE cannot be provided, the Doctoral Programme Director and Chair of Research Degrees Sub-Committee may exceptionally consider appointment of an external supervisor to the supervisory team.
27. Full-time students have the right to at least three supervisory meetings per term. Part-time students have the right to at least two supervisory meetings per term.
28. The Doctoral Programme Director or Head of Department may consider a change of supervisor where deemed appropriate. However, a change of supervisor cannot be guaranteed.

### Studying away from the School

29. All students are required to be in regular attendance at the School for the purpose of attending courses, supervisions and other seminars required by their programme.
30. The Research Degrees Subcommittee Chair may allow students to be absent from the School for fieldwork or study elsewhere and will set the conditions which will apply. These will include regular contact with their supervisor(s). Absence from the School will not normally be allowed in the first year of registration.
31. Applications for study away from the school must be made through the PhD Academy via the appropriate procedure.
32. A fee will be payable for the period of absence, and the period will count towards the minimum and maximum number of years of study required by regulations 9-10.
33. Students undertaking fieldwork or study elsewhere must carry out a risk assessment in collaboration with their supervisor before starting the period of absence.
34. Any ethical issues arising from study away from the school should be considered in accordance with the LSE Research Ethics policy, procedures and guidance.

35. In exceptional circumstances, the Research Degrees Subcommittee Chair may permit a student to reside outside the UK during their final year writing up period. Non-resident registration status will not normally be permitted where a student is required to attend classes at the School or requires access to on-campus resources and facilities and will be subject to confirmation of satisfactory support arrangements, both academic and non-academic, and access to appropriate resources and facilities.

### **Progress Review**

36. The department will formally review the progress of each student at the end of each academic session (and as deemed by the department as equivalent for part-time students) in accordance with its published procedures.
37. Such procedures should:
  - 37.1 confirm the members of staff involved in the progress review, which should include at least one member of the academic staff other than the supervisor;
  - 37.2 detail what written work and/or examinations the student is required to submit and/or sit. Requirements for written work should be based on an appropriate area of the student's research/thesis;
  - 37.3 (where relevant) include what grade a student is required to achieve in any assessment resulting from a taught course;
  - 37.4 include a review of the student's training and professional development needs;
  - 37.5 include an assessment of any ethics review required for the student's research undertaken in accordance with the School's research ethics policy;
  - 37.6 include the submission and review of a completion timetable clearly setting out the work completed and remaining on the student's research/thesis. The completion timetable at the end of year three should include plans for examination entry and submission;
  - 37.7 confirm whether an opportunity is provided for the student to defend their progress orally to the progress review panel; and
  - 37.8 include consideration of any information provided by the student on exceptional circumstances.
38. Progress reviews may result in the following outcomes:
  - 38.1 continued registration
  - 38.2 continued registration with conditions,
  - 38.3 continued registration as an MPhil Candidate; or
  - 38.4 termination of registration.
39. The PhD Academy Deputy Director will, if applicable, inform the student in writing of the outcome with the reasons for imposing conditions or terminating registration. A student has the right of appeal against a decision to terminate their registration or to allow progression as an MPhil Candidate. Appeals will be conducted in accordance with the Appeal Regulations for Research Students.

### **Upgrade to PhD**

40. The department will make a decision whether to upgrade a student as outlined in the departmental regulations and no later than two years from initial registration.
41. Upgrade procedures are agreed by each department but must:
  - 41.1 specify the amount and type of written materials a student is required to produce and indicate the deadlines for submission;
  - 41.2 require the student's written materials to include a clear framework for the research and a timetable for completion;
  - 41.3 provide for an upgrade panel that can include the student's supervisor(s) and must include at least one member of the department who is not directly involved in the student's supervision. Where a student's supervisor is not included on the upgrade panel, their view should be sought before the Panel reaches a decision;
  - 41.4 include an opportunity for the student to defend their written materials orally.
42. Students who do not submit work in accordance with the requirements are not eligible for consideration for upgrade and the Doctoral Programme Director will make a recommendation for either de-registration from the degree programme or allowing continued registration with the aim of submission for the degree of MPhil.
43. If a student is not upgraded they are entitled to resubmit work and be re-examined under the same principles governing the first attempt within a maximum of six months for a final decision.
44. Where a final upgrade attempt is unsuccessful a recommendation will be made either for de-registration or to allow the student to continue in registration with the aim of submission for the degree of MPhil if they so wish. The PhD Academy Deputy Director will inform the student in writing of a final decision, and the reasons for it. Students have the right of appeal against decisions not to upgrade to PhD status in accordance with the Appeals Regulations for Research Students.

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45. Students not upgraded in accordance with these regulations are not eligible to enter for PhD examination or be considered for PhD award.

### Requirements for all theses submitted for the degrees of MPhil and PhD

46. Most of the work submitted in a thesis must have been done after the initial registration for a research degree at the School, except that in the case of a student accepted under regulation 7 there will be allowance for the fact that their registration began at another institution.
47. Except where the School has agreed to a collaborative arrangement with another institution, a candidate will not be allowed to submit a thesis which has been submitted for a degree or comparable award of any institution. They may however incorporate in the thesis any work that is the result of previous study, provided that the work which has been incorporated is indicated on the thesis.
48. In addition to the special requirements set out in regulations 50-53 for both the PhD and the MPhil, the thesis will:
- 48.1 consist of the candidate's own account of their investigations. Work already published, either by the candidate or jointly with others, may be included only if it forms an integral part of the thesis and so makes a relevant contribution to its main theme and is in the same format as the rest of the thesis. Irrespective of thesis format (see 48.2 and 48.3), the candidate must clearly state the part they played in any work done jointly with the supervisor(s) and/or fellow researchers;
  - 48.2 consist either of a monograph that forms an integrated whole; or
  - 48.3 consist normally of a series of at least three papers, provided that submission of thesis by papers is permitted by the candidate's department and that the thesis conforms to the department's requirements with regards to format and content.<sup>1</sup>
  - 48.4 be written in English and must be presented in line with published School guidance;
  - 48.5 include a full bibliography and references.
49. For the examination, the candidate will be required to provide the PhD Academy with hard copies of their thesis for each examiner, along with one electronic copy in PDF format, submitted in accordance with the School's instructions.

### Additional requirements for a PhD thesis

50. The scope of the thesis will be what might reasonably be expected after three or at most four years of full-time study.
51. The thesis will:
- 51.1 form a distinct contribution to the knowledge of the subject and afford evidence of originality by the discovery of new facts and/or by the exercise of independent critical power;
  - 51.2 give a critical assessment of the relevant literature, describe the method of research and its findings, and include a discussion on those findings, indicate in what respects they appear to the candidate to advance the study of the subject; and demonstrate a deep and synoptic understanding of the field of study;
  - 51.3 demonstrate research skills;
  - 51.4 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals); and
  - 51.5 not exceed 100,000 words (including footnotes but excluding bibliography and appendices). In appropriate circumstances the Research Degrees Subcommittee Chair may grant permission for a thesis to exceed the normal length.

### Additional requirements for an MPhil thesis

52. The scope of the thesis will be what might reasonably be expected after two or at most three years of full-time study.
53. The thesis will:
- 53.1 be either a record of original work or of an ordered and critical exposition of existing knowledge and will provide evidence that the field has been surveyed thoroughly;
  - 53.2 give a critical assessment of the relevant literature, describe the method of research and its findings, and include a discussion on those findings;
  - 53.3 not exceed 60,000 words (including footnotes but excluding bibliography and appendices). In appropriate circumstances the Research Degrees Subcommittee Chair may grant permission for a thesis to exceed the normal length.

### Submission of an MPhil or PhD thesis and examination entry

54. Students will be examined or re-examined in accordance with regulations 55 to 84 as in force when they apply to enter the examination. They must apply in the form prescribed in the Guidelines for MPhil and PhD Examinations to the PhD Academy who will then initiate the procedure for the appointment of examiners.

55. Students may submit a thesis for examination upon completion of the expected period of registration of three years full time study (or part-time equivalent).
56. Candidates must be registered students at the time of submission.
57. The decision to submit a thesis rests with the candidate alone upon completion of the expected period of registration.
58. Applications for submission before completion of the expected period of registration (three years of full-time registration) require approval of the Chair of the Research Degrees Sub Committee and must meet the following requirements:
  - 58.1 Completion of the minimum permitted period of registration
  - 58.2 Support of the candidate's Academic Department
  - 58.3 Acceptance by the candidate of responsibility for the decision to submit early
59. Only candidates who have been successfully upgraded in accordance with the School's regulations can submit a thesis for the PhD award.
60. When entering the examination candidates will be required to sign the following declaration:
  - 60.1 I certify that the thesis I have presented for examination for the MPhil/PhD degree of the London School of Economics and Political Science is solely my own work other than where I have clearly indicated that it is the work of others (in which case the extent of any work carried out jointly by me and any other person is clearly identified in it).
  - 60.2 I consider the work submitted to be a complete thesis fit for examination.
  - 60.3 I authorise that, if a degree is awarded, an electronic copy of my thesis will be deposited in LSE Theses Online (in accordance with the published deposit agreement) held by the British Library of Political and Economic Science and that, except as provided for in regulation 61 it will be made available for public reference.
  - 60.4 I authorise the School to supply a copy of the abstract of my thesis for inclusion in any published list of theses offered for higher degrees in British universities or in any supplement thereto, or for consultation in any central file of abstracts of such theses.
  - 60.5 I will include the following statement at the beginning of my thesis:
    - (a) The copyright of this thesis rests with the author. Quotation from it is permitted, provided that full acknowledgement is made. In accordance with the Regulations, I have deposited an electronic copy of it in LSE Theses Online held by the British Library of Political and Economic Science and have granted permission for my thesis to be made available for public reference. Otherwise, this thesis may not be reproduced without my prior written consent.
    - (b) I warrant that this authorisation does not, to the best of my belief, infringe the rights of any third party.
61. By submitting the thesis for examination candidates are declaring themselves fit for examination and that the work is ready to go forward for consideration. Theses may not be withdrawn from the examination process by the candidate.
62. A candidate may apply to the Research Degree Subcommittee for restriction of access to their thesis and/or the abstract for a period of up to two years from submission of the final thesis. Such a request can be on the grounds, for example, a publication contract, of commercial exploitation or patenting or for the protection of individuals. The thesis will be placed in the public domain at the expiry of the approved period of restriction of access. In all other circumstances, a thesis will be placed in the public domain immediately after the award of the degree.
63. In exceptional circumstances and prior to the thesis being placed in the public domain, a candidate may apply for an additional period of restriction of access to their thesis or for redaction of parts of the thesis beyond the two-year period specified in para 62. Applications for additional restriction must be made in accordance with the guidance and procedures as laid out by the Research Degrees Sub Committee and the Research Ethics Committee at the time of application

### **MPhil and PhD examinations**

64. The Research Degrees Subcommittee will appoint the examiners, having paid particular attention to their independence, expertise and relevant experience. It will appoint two, or exceptionally three, examiners for each candidate. The candidate's supervisors cannot act as examiners.
65. The examiners are required to be experts in the field of the thesis and to be able to make an independent assessment of the student and the thesis.
66. At least one examiner will be external to LSE (in the exceptional case of three examiners at least two of them will be independent of LSE). The panel of examiners are required to demonstrate that the examination is subject to clear independent oversight of LSE procedures and assessment and that there is sufficient experience of LSE expectations and requirements.
67. Where an examination panel cannot be constituted with sufficient experience of LSE expectations and requirements the department may either:

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- a) Nominate a third examiner with appropriate experience; or
  - b) Nominate a Chair to be appointed from within the academic department to oversee regulations for the examination. The Chair will not take part in academic assessment of the work at viva and their role is limited to ensuring regulatory compliance of the examination process. The candidate's supervisors cannot act as Chair to the examination.
68. Assessment will be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English. In highly exceptional circumstances connected with the candidate and with the permission of the appropriate Pro-Director, the School may suspend the requirement for an oral examination.
69. Candidates must attend for examination at a place and time the School determines. The oral examination may be held at LSE in London or using approved video conferencing facilities.
70. Prior to the examination the examiners will prepare and exchange independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held).
71. Unless the candidate indicates otherwise on the entry form, the supervisor(s) may attend the oral examination as an observer. The supervisor(s) do(es) not have the right to take part in the examination but may contribute if invited to do so by the examiners with the agreement of the candidate. Otherwise the oral examination will be held in private.
72. After any oral examination, the examiners will prepare a joint final report. It will indicate whether the thesis meets the requirements specified in these regulations and will include a statement of the examiners' reasons for their judgment of the candidate's performance against the criteria. The examiners may, at their discretion, consult the supervisor(s) before completing their report.
73. Copies of the reports will be sent to the PhD Academy who will forward a copy of it to the candidate together with the preliminary reports unless the examiners have specified otherwise.
74. Examiners have the right to make comments in confidence to the appropriate Pro-Director in a separate report. Such comments should not normally be concerned with the performance of the candidate but may cover other matters that they wish to draw to the attention of the School.
75. If the examiners are unable to agree on the result of the examination, the PhD Academy Deputy Director will advise them and if necessary will refer the matter to the Research Degrees Subcommittee Chair, who will determine the action to be taken.

### Outcome of the PhD examination

76. The options open to examiners in determining the result of the examination are as follows:
- 76.1 If the thesis meets the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, they will recommend that the candidate should be awarded the PhD degree. The thesis may contain minor errors deemed by the examiners to have no academic impact.
  - 76.2 If the thesis otherwise meets the criteria but requires minor amendments, and the candidate satisfies the examiners in the oral examination, they may require them to make amendments they specify. The examiners shall indicate the length of time permitted to the candidate to make the required amendments, which shall not be longer than six months. The candidate must submit the amended thesis to both examiners or one of their number nominated by the examiners for confirmation that the amendments are satisfactory.
    - 76.2.1 Failure to submit minor amendments within the required deadline or submission of revisions which do not satisfy the requirements of the examiners will mean that first attempt at examination is considered unsuccessful. The examiners may then decide to allow a re-entry and resubmission (regulation 76.3), offer award of MPhil (regulation 76.5) or determine that the candidate has not satisfied them in examination for either PhD or MPhil (regulation 76.6).
  - 76.3 If the thesis, though inadequate, seems of sufficient merit to justify such action, the examiners may allow the candidate to re-present it in a revised form for re-examination. They will indicate the length of time they consider the candidate will need to complete the revisions, which shall be between seven and twelve months. Examiners may not, however, make such a decision without having submitted the candidate to an oral examination. The examiners may at their discretion exempt the candidate from a further oral examination. On resubmission of a thesis under this regulation, examiners must reach a final decision according to regulations 76.1, 76.2, 76.4, 76.5 or 76.6.
  - 76.4 If the thesis meets the criteria but the candidate fails to satisfy the examiners at the oral examination, they may allow them to re-present the same thesis and take a further oral examination within a period specified by them not exceeding 12 months.
  - 76.5 If, after completion of the oral examination or re-examination for the PhD, the examiners decide that a candidate has not reached the standard required under regulations 50-51, they will consider whether the thesis does, or might be able to, satisfy the criteria for the award of the MPhil degree. If they so decide, they will submit a report that shows either how the criteria for the MPhil degree are met or what action the student needs to take to meet them. Examiners will have discretion to waive the thesis length for the MPhil



degree if appropriate. Thereafter the following conditions and procedures will apply:

- (a) The candidate will be told that they have been unsuccessful in the examination for the PhD degree, but has reached the standard required for the award of the MPhil, or with amendment to the thesis may be able to satisfy the criteria for the MPhil.
  - (b) A candidate considered for the award of the MPhil degree under this regulation will not be required to submit the thesis, as required under the regulations for the MPhil degree, or to undergo a further oral examination, but will be required to fulfil the requirements for the MPhil in all other respects.
  - (c) A candidate offered an MPhil degree under these regulations must make any amendments the examiners require within a period they specify, but not exceeding twelve months. The candidate must submit the amended thesis to the examiners who will decide whether they have completed the amendments to their satisfaction.
- 76.6 The examiners may determine that the candidate has not satisfied them in the examination for either the MPhil or the PhD. They will not, however, save in very exceptional circumstances, make such a decision without having submitted the candidate to an oral examination.
77. Students have the right of appeal against a decision taken under regulations 76.3, 76.4, 76.5 or 76.6, in accordance with the Appeals Regulations for Research Students.

### **Outcome of the MPhil examination**

78. The options open to examiners in determining the result of the examination are as follows:
- 78.1 If the thesis meets the criteria set out in these regulations and the candidate satisfies the examiners in the examination, they will recommend that the candidate should be awarded the degree of MPhil. The thesis may contain minor errors deemed by the examiners to have no academic impact.
  - 78.2 If the thesis otherwise meets the criteria but requires minor amendments and the candidate satisfies the examiners in the examination, they may require them to make amendments they specify. The examiners shall indicate the length of time permitted to the candidate to make the required amendments, which shall not be longer than six months. The candidate must submit the amended thesis to both examiners or one of their number nominated by the examiners for confirmation that the amendments are satisfactory.
    - 78.2.1 Failure to submit revisions within the required deadline or submission of revisions which do not satisfy the requirements of the examiner will mean that first attempt at examination is considered unsuccessful. The examiners may then decide to allow a re-entry and resubmission (regulation 76.3), or determine that the candidate has not satisfied them in examination for either PhD or MPhil (regulation 76.6).
  - 78.3 If the thesis, though inadequate, seems of sufficient merit to justify such action, the examiners may allow the candidate to re-present it in a revised form. In such circumstances, they will indicate the length of time they consider they will need to complete the revisions, which shall be between seven and twelve months. Examiners may not, however, make such a decision without having submitted the candidate to an oral examination. The examiners may at their discretion exempt the candidate from a further oral examination. On resubmission of a thesis under this regulation, examiners must reach a final decision according to regulations 78.1, 78.2 or 78.5.
  - 78.4 If the thesis meets the criteria but the candidate fails to satisfy the examiners at the oral examination, they may allow them to re-present the same thesis, and undergo a further oral examination within a period specified by them not exceeding 12 months
  - 78.5 The examiners may determine that the candidate has not satisfied them in the examination for the MPhil degree. They will not, however, save in very exceptional circumstances make such a decision without having submitted the candidate to an oral examination.
79. Students have the right of appeal against a decision taken under regulations 78.3, 78.4 or 78.5, in accordance with the Appeals Regulations for Research Students.

### **Notification of award of MPhil and PhD**

- 80. After the examiners have confirmed their decision, the PhD Academy will notify the candidate of the result. The degree will not be awarded until the candidate has provided a copy of the successful thesis, in accordance with regulation 60.3
- 81. The PhD Academy will send a certificate to each candidate who has been awarded a degree. It will bear the names of the candidate in the form in which they appear in the School's records at the date of issue.
- 82. Where the authorities of the School notify the PhD Academy that the student has not settled or made acceptable arrangements to settle any account outstanding, the Deputy Director of the PhD Academy will withhold certification until the same authority certifies that the student has made payment in full.
- 83. The Academic Registrar may withhold the result of the examination for any student who is the subject of investigation under the School's disciplinary or other procedures.

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### Revocation of award

84. The Council or Director may revoke an award made under these regulations as permitted by the Bye-laws and Regulations of the School.

### Footnote

- <sup>1</sup> In case of paper-based theses, department specific exceptions from the requirement of at least three papers must be grounded in the research practice prevalent in the relevant field, documented in department rules and approved of by the RDSC.

See the [Calendar](#) for further information about Programme Regulations, Course Guides, School and academic Regulations.



## INFORMED CONSENT

This guidance should be read in conjunction with the [LSE Research Ethics Policy and Procedures](#)

Informed consent is widely accepted as the cornerstone of ethical practice in research that involves human participants or personal data. It entails providing participants with clear information about the purpose of the study, what their participation will involve and how their data will be stored and used in the long-term. The informed consent process should stress that participation is voluntary and can be ended at any point during the research.

There may be some circumstances where gaining informed consent is not possible - for instance, in the case of some anthropological field work<sup>1</sup>, or some research in behavioural science - but in these cases the lack of informed consent should be specially argued.

### Written or Verbal?

**Written** consent should be sought wherever possible. Aside from its generally being a better guarantee that participants have indeed given their consent, written consent also provides an auditable record that will prove useful in the event of a dispute or questions arising later regarding the use or storage of data. Research that proposes to use only verbal consent will need to justify why written consent is inappropriate for the study.

For **online surveys** or other digital data collection, appropriate ways should be sought to ensure that participants explicitly signal their consent (e.g. by explicitly ticking an "I agree" box).

Researchers involved in collecting data from **social media** platforms should refer to appropriate guidance, for example: the [LSE Social Media, Personal Data and Research Guidance](#), the [Association of Internet Researchers' ethics guidance](#), or the [UKRIO 'Good practice in internet-mediated research'](#).

### Seeking informed and freely-given consent

Whichever method is adopted, researchers must make every effort to ensure that participants are genuinely informed about the study and that they have freely consented to take part. The usual method in the case of written consent is that a relatively (but not overly) detailed information-sheet should be given to participants along with a briefer consent form. On both, researchers should **avoid jargon** and use language that is appropriate for the intended participants.

### The information sheet

Except in exceptional circumstances (which will require special justification) the information sheet should cover the following topics:

- name of the project and purpose of the research, including:
  - the researcher's institution
  - funding source (if appropriate)
- what participation will involve (e.g. if interviews are proposed, how many and how long they will be and where they will be held)
- risks to participants and benefits to participants and others
- that participants are free to withdraw at any time without prejudice and without providing a reason
- that if the participant withdraws, they should be given the option to have any information they have provided thus far to be removed from the study<sup>2</sup>
- what usage will be made of the data: during the research itself (where data will be stored and who will have access to it); after the research (if/how the data will be published); whether the (anonymised) data will be used in possible future research or archived to meet funder requirements, and/or how and when the data will be destroyed
- strategies for maintaining confidentiality and anonymity
- contact details:
  - contact details for researchers
  - who to contact should they have a complaint (namely, [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk))
  - how to request a copy of the data about themselves [glpd.info.rights@lse.ac.uk](mailto:glpd.info.rights@lse.ac.uk)

Two sample participant Information Sheet/consent forms are attached in the appendix to this document; we recommend the first, more detailed example is used for any large study or sensitive/complex research. The second, simpler, version may be used for MSc or UG studies provided these do not involve sensitive or complex issues. Word versions of both examples can be found [here](#). Researchers should produce their own forms tailored to the particular research context and participant groups involved in their research project (for instance, for online surveys, for research involving children, etc.). Other examples can be found at: <https://www.ukdataservice.ac.uk/manage-data/legal-ethical/consent-data-sharing/overview>

It is important that arrangements are made for researchers carefully to talk through the information sheet and consent form with participants before they are asked to sign the form, and that appropriate time is allowed in order for participants to make this decision.

### Opt in/Opt Out

It is generally recognized that assuming that participants have given their consent on the basis that they have not taken an opportunity explicitly to opt out is very unsatisfactory. The General Data Protection Regulation and Data Protection Act 2018 states that "Silence, pre-ticked boxes or inactivity" is presumed inadequate to signal consent. The default assumption is, therefore, that all research carried out at LSE involves an 'opt in' consent procedure. There may, however, be special circumstances in which 'opt out' may arguably be the only pragmatically feasible option (e.g. for large studies conducted in schools). Any such proposals should be submitted to the LSE Research Ethics Committee (REC) and will be subject to special scrutiny.

### Sensitive issues

Where the research involves sensitive issues (such as questions of ethnicity, sexual behaviour, health, political beliefs, or illegal behaviour), then special attention should clearly be paid to ensuring that the participants are fully informed ahead of time of the nature of the research and are given ample time to think before deciding whether or not to become involved. They should also be reminded during the study that they are free to discontinue their participation at any point. Particular attention also needs to be paid to the confidentiality and **data management** of such data.

For further guidance on this we suggest referring to the book '**Undertaking Sensitive Research in the Health and Social Sciences**'. Hard and e-copies of this are available in the LSE Library.

### Research involving vulnerable participants or those with diminished capacity to give informed consent

Participants may be vulnerable for a number of reasons, for instance due to innate characteristics (such as age, in the case of children or the elderly, ethnicity, or sexuality), or due to physical impairment, learning disabilities, etc. Vulnerability may also be due to a participant's economic or political situation. Research involving vulnerable participants raises complex ethical issues concerning which it is difficult to formulate generally applicable rules. Researchers should consult relevant guidance and discuss their proposals with those with experience in conducting such research. Useful information on 'special cases' of consent can be found at <http://www.data-archive.ac.uk/create-manage/consent-ethics/consent?index=6>. All such research should be submitted to the **REC** who will give special scrutiny to the proposed procedures for informed consent in such cases.

### Data Protection and information security

An important part of informed consent is that participants should be aware of what will happen to the data that is collected during the study, what arrangements will be made to keep participants' identities secret and the data confidential. If it is proposed to share data with other researchers or bodies (or even if this is a possibility), participants must be fully informed.

Researchers must ensure that they comply with the UK Data Protection Act. The Act allows special provisions for research, and researchers should consult the LSE guidance on **Data Protection and Research**. Researchers should also consult the School's policies and guidance on Information Security, including encryption and audio and video recording. These are available at: <https://info.lse.ac.uk/staff/divisions/dts/about/policies>.

### Limits to Confidentiality

It is always recommended that participants' details are anonymised at the earliest opportunity and they are not named in research reports or publications. However, in some instances it may be impossible to guarantee that participants will not be identifiable. In such instances it may be better to discuss with participants whether they are happy to be named, and to agree - as part of the informed consent process/form - exactly how their data will be presented, and whether or not they will be able to check transcripts of their interviews. This can raise and number of issues, and we recommend researchers refer to the following resources: <http://www.ethicsguidebook.ac.uk/Limits-of-confidentiality-professional-and-elite-interviews-232> and <https://www.tandfonline.com/doi/full/10.1080/13645579.2015.1123555?src=recsys>

Confidentiality may also need to be re-considered in cases where a participant discloses something in an interview that suggests that they or someone they mention is at serious risk of harm and unable to act for themselves. In such circumstances this may need to be reported to the relevant authorities - however the researcher should always first discuss this with their supervisor and/or line manager, and any breaking of confidentiality will need to be discussed with the participant.

If in any doubt, please refer to the Research Ethics Committee for guidance, via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk)

### Deception

Certain kinds of social research - particularly in psychology or the behavioural sciences - would be rendered pointless if participants were fully informed in advance of the details of that research. Where an element of deception is involved in a study, the Research Ethics Committee will want to feel assured

- (a) that there is no other non-deceptive way of investigating the research problem at issue; **and that the case can be made that the study's prospective scientific (or applied) value outweighs the disvalue of the deception involved.**
- (b) that, before data collection begins, participants are informed about the nature of the study as fully as is consistent with the scientific aims of the study;
- (c) that the deception will be explained to the participants as early as possible - preferably at the conclusion of their

participation, and certainly no later than the conclusion of the overall study's data collection; **and** that participants will be explicitly informed, at that point, that they may withdraw their data<sup>3</sup>;

- (d) that the study does not involve the possibility of participants suffering any degree of pain or substantial emotional distress.

### Further information

This policy document cannot cover every type of research context. Where there is any uncertainty, please contact the Research Governance Manager via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk). Please also refer to the School's **Research Ethics Policy and guidance**.

### Footnotes

- <sup>1</sup> Researchers should refer to the Association of Social Anthropologists' ethical guidelines: <https://www.theasa.org/downloads/ASA%20ethics%20guidelines%202011.pdf>
- <sup>2</sup> Up until publication: if a participant withdraws after research results have been published, the publication does not need to be changed. However, the data should not be used for further research or publications.
- <sup>3</sup> This is in line with the advice given on deception by relevant professional bodies – see, e.g., the American Psychological Association's **Ethical Principles of Psychologists and Code of Conduct** (2016) Ethical Standard 8.07

## APPENDIX: SAMPLE INFORMATION SHEET AND CONSENT FORM

**Example 1:** The following example/template (information sheet + consent form) is recommended for larger studies or any complex/sensitive research<sup>4</sup>

*You must adapt the template to the requirements of your particular study (replace text in blue with your own study information; delete footnotes, etc.).*

**[Title of research study]**

**[Name of researcher]**

[Department/Centre, LSE]

### Information for participants

Thank you for considering participating in this study which will take place [insert approximate dates]. This information sheet outlines the purpose of the study and provides a description of your involvement and rights as a participant, if you agree to take part.

#### 1. What is the research about?

*[Set out the aim of this project/research, and also the methods to be used to collect information. It is important that you use language that will be understood by your intended participants. If applicable, state who the funder of the research is.]*

#### 2. Do I have to take part?

It is up to you to decide whether or not to take part. You do not have to take part if you do not want to. If you do decide to take part [I/we] will ask you to sign a consent form which you can sign and return in advance of the [interview/focus group meeting] or sign at the meeting.

#### 3. What will my involvement be?

*[Be clear about what participation will involve and how long this might take. E.g. 'You will be asked to take part in an interview/focus group/survey about your experience/knowledge of... It should take approximately...']*

#### 4. How do I withdraw from the study?

You can withdraw from the study at any point until [insert date, e.g. when you will begin analysis of the data, or until publication of the data], without having to give a reason. If any questions during the [interview/focus group] make you feel uncomfortable, you do not have to answer them. Withdrawing from the study will have no effect on you. If you withdraw from the study I will not retain the information you have given thus far, unless you are happy for me to do so.

#### 5. What will my information be used for?

[I/we] will use the collected information for.... [a research project, academic paper, future research, etc.]

#### 6. Will my taking part and my data be kept confidential? Will it be anonymised?

The records from this study will be kept as confidential as possible. Only [myself and my supervisor] will have access to the files and any audio tapes. Your data will be anonymised – your name will not be used in any reports or publications resulting from the study.<sup>5</sup> All digital files, transcripts and summaries will be given codes and stored separately from any names or other direct identification of participants. Any hard copies of research information will be kept in locked files at all times.

**Limits to confidentiality:** confidentiality will be maintained as far as it is possible, unless you tell us something which implies that you or someone you mention might be in significant danger of harm and unable to act for themselves; in this case, we may have to inform the relevant agencies of this, but we would discuss this with you first.

#### 7. Who has reviewed this study?

This study has undergone ethics review in accordance with the LSE Research Ethics Policy and Procedure.<sup>6</sup>

#### 8. Data Protection Privacy Notice

The LSE Research Privacy Policy can be found at: [https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Information-Records-Management/Privacy-Notice-for-Research- v1.2.pdf?from\\_serp=1](https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Information-Records-Management/Privacy-Notice-for-Research- v1.2.pdf?from_serp=1)

The legal basis used to process your personal data will be [Please select one of the following: Staff, please enter "Public Task"; Students, please enter "Legitimate interests"]. The legal basis used to process special category personal data (e.g. data that reveals racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, health, sex life or sexual orientation, genetic or biometric data) will be for scientific and historical research or statistical purposes.

To request a copy of the data held about you please contact: [glpd.info.rights@lse.ac.uk](mailto:glpd.info.rights@lse.ac.uk)

## 9. What if I have a question or complaint?

If you have any questions regarding this study please contact the researcher, [X], on [email address].

If you have any concerns or complaints regarding the conduct of this research, please contact the LSE Research Governance Manager via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk).

If you are happy to take part in this study, please sign the consent sheet attached.

### Footnotes

- <sup>4</sup> A Word version of these templates can be downloaded from: <https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Assets/Documents/Word/info-consent-LSEsample.docx>
- <sup>5</sup> There are some circumstances in which you may – with their agreement – name your participants in your research; however, caution should be exercised, and you are advised to discuss this with either your supervisor or the REC via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk)
- <sup>6</sup> Research ethics review must be completed and approved before you undertake any data collection. Details of the LSE Research Ethics Policy and Procedure can be found at: <https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/research-ethics/research-ethics>

## CONSENT FORM

*[Please delete/amend any clauses/blue text not relevant]*

**[Title of research study]**

**[Name of researcher]**

### PARTICIPATION IN THIS RESEARCH STUDY IS VOLUNTARY.

I have read and understood the study information dated <i>[DD/MM/YY]</i> , or it has been read to me. I have been able to ask questions about the study and my questions have been answered to my satisfaction.	YES / NO
I consent voluntarily to be a participant in this study and understand that I can refuse to answer questions and that I can withdraw from the study at any time up until XXX, without having to give a reason.	YES / NO
I agree to the <i>[interview/focus group]</i> being audio recorded <i>[delete if not being audio recorded]</i>	YES / NO
<i>[If conducting focus groups]</i> I agree to maintain the confidentiality of the focus group discussions	YES / NO
Add additional statements for e.g. video recording, photographs, etc. if relevant	YES / NO
I understand that the information I provide will be used for <i>[Researcher name dissertation, thesis, research publication, etc.]</i> and that the information will be anonymised.	YES / NO
<i>If you want to use quotes in research outputs, add:</i> I agree that my (anonymised) information can be quoted in research outputs.	YES / NO
<i>If you want to use named quotes, add:</i> I agree that my real name can be used for quotes.	YES / NO
<i>If written information is provided by the participant (e.g. diary), add:</i> I agree to joint copyright of the <i>[specify the data]</i> to <i>[name of researcher]</i> .	YES / NO
I understand that any personal information that can identify me – such as my name, address, will be kept confidential and not shared with anyone <i>[other than myself / beyond the study team]</i> .	YES / NO
I give permission for the (anonymised) information I provide to be deposited in a data archive so that it may be used for future research. <i>[Note that for some funders it is a requirement to ask participants this]</i>	YES / NO

Please retain a copy of this consent form.

Participant name:

Signature: \_\_\_\_\_ Date \_\_\_\_\_

Interviewer name:

Signature: \_\_\_\_\_ Date \_\_\_\_\_

For information please contact: *<<name and email address of researcher>>*

**Example 2:** The following example/template may be used for MSc/UG projects provided the research is not sensitive or complex (it combines the information sheet/consent form in one)

*Please add the relevant details of your study.*

Dear .....,

Thanks for your interest in this project about..... In this email, I give you information about the project and ask for your consent to participate. If you agree, please reply to this email, stating your name and that you agree to the statements in the table below to give your consent.

**What is the study about?**

XXXXX

**What will my involvement be?**

XXXXXXXX

**Do I have to take part?**

Participation is **voluntary**. There are no negative consequences for you if you decide not to take part in this study. If you decide to take part but then later on you change your mind, you can let me know by *[DATE]* - you will not have to give any explanation why. It is also absolutely fine if you feel that you don't want to answer any specific questions – you can just tell me, and we will move on.

**What will my information be used for?**

*[E.g. Masters' dissertation? Confirm if it might be used in future research or publications]*

**Will my information be anonymous?**

Your participation will be anonymous - your name will not be used in any reports or publications resulting from the study.

**If you agree to take part in the research, please complete the section below**

**Your name:** (type first name and surname here)

**Please read these three statements. If you agree with them, put a X in the boxes below**

I have read this message and had the opportunity to ask questions.

I agree to participate in the [interview / survey / focus group]

I understand that my responses will be kept confidential and anonymous and that my personal information will be kept securely and destroyed at the end of the study

**Once completed please email this back to me. Thank you!**

**Researcher name:**

Email address:

The LSE Research Privacy Policy can be found here: <https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Information-Records-Management/Privacy-Notice-for-Research-v1.2.pdf>

**Review schedule:**

Review interval	Next review due by	Next review start
3 years	AY 2020-21	October 2020

**Version history:**

Version	Date	Approved by	Notes
2	1/11/2017	Research Committee	
2.1	25/6/2018	Lyn Grove	p.2: Insertion of 'and Data Protection Act 2018' and removal of 'coming into force May 2018'
2.2	26/09/2018	RC Chair's action	Further minor revisions to ensure compliance with DPA/GDPR 2018 plus Research Council requirements vis a vis archiving of data
2.3	09/04/19	RC, 27/03/19	Minor revisions, including addition of limits to confidentiality
2.4	04.11.2019	RC Chair, 4.11.19	Minor revisions to the sample template only
2.5	25.01.2021	Research Governance Manager (Lyn Grove)	Minor correction to links and numbering
2.6	27.08.2021	Research Governance Manager (Lyn Grove)	Inclusion of additional simple sample information sheet/consent form

**Links:**

**Reference**

Research Ethics Policy and guidance

**Link**

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/resEthPolPro.pdf>

Contacts:

Position	Name	Email	Notes
Research Governance Manager	Lyn Grove	<a href="mailto:l.grove@lse.ac.uk">l.grove@lse.ac.uk</a>	Co-author (with REC)

Communications and Training:

Will this document be publicised through Internal Communications?	Yes
Will training needs arise from this policy	Yes/ No

If Yes, please give details:

Staff/students should contact [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk) if they have any queries regarding training needs.



# RESEARCH ETHICS POLICY AND PROCEDURES

## STATEMENT OF PRINCIPLES

1. The Research Ethics Policy forms a part of the School's over-arching Ethics Code<sup>1</sup>.
2. Researchers in the social sciences have responsibilities: to society at large; to those who fund their research; to the institutions that employ them or at which they study; to their colleagues and the wider academic and research community; to the people who take part in their research; and for their own safety and wellbeing. Reconciling those responsibilities can be difficult and may entail ethical judgement. The intention of this policy statement is that the School should provide a procedural framework to assist staff and students in exercising such judgement.
3. The policy relates to research – whether funded or unfunded – involving human participants<sup>2</sup>, or involving data relating to directly identifiable human subjects (whether living or recently deceased), conducted by researchers<sup>3</sup>. It does not relate to other ethical judgements. For the purposes of this policy, the term 'researcher' includes members of the School's community including academics, contract research staff, postgraduate researchers, Master's students, and undergraduate students. 'Research' is defined variously according to the Frascati definition or the HEFCE definition used for the Research Excellence Framework.<sup>4</sup>
4. The policy has been adopted in support of the School's wider commitments to the rights and dignity of all human subjects, intellectual freedom and research excellence. Sound ethical standards are a pre-requisite for excellent research. Equally, disproportionate, burdensome and narrowly framed research ethics procedures can be an obstacle to excellent research, and might thus themselves create an ethical challenge.
5. The procedures instituted in pursuit of this policy are intended:
  - to facilitate, not inhibit, research;
  - to promote a culture within the School whereby researchers conscientiously reflect on the ethical implications of their research;
  - to apply a principle of subsidiarity whereby responsibility for research ethics will be embraced by researchers, supervisors, departments or institutes at a level as close as appropriately possible to the actual conduct of the research.
6. The policy is subject to oversight by the Research Ethics Committee, which is accountable to the Research Committee, the Ethics Committee, Academic Board and ultimately Council. It will be reviewed periodically. The policy is freely available to potential research funding agencies in the interests of transparency and to avoid possible pre-contractual misunderstandings. This document has been drawn up with regard to ethical guidelines relevant to research within the School. Any researcher considering research ethics should do so in conjunction with the resources and policies listed in Annex A.

## POLICY

### Research ethics review

7. Where research involves human participants (for example, for interviews, focus groups, surveys, observations, etc.), or involves data relating to directly identifiable human subjects (including user-generated data on social media platforms), researchers are required to complete a Research Ethics Review. The purpose of the review is to require researchers to reflect on the potential ethical implications of their research and the potential risks of harm (including risks to life, livelihoods, social relationships, emotional well-being, reputation, mental health, and more) that might be caused to the participants (as well as to the researcher(s) themselves).
8. When reflecting on the ethical implications of their research, researchers should refer not only to this policy but also to any/all the following where relevant: disciplinary frameworks, funders' guidance, legal statutes, cultural norms of those they intend to involve in their research. Researchers should also be familiar with the basic principles of the Belmont Report<sup>5</sup>, which are: Respect for persons (and their autonomy), Beneficence, Non-maleficence, Distributive justice (ensuring benefits and burdens are shared equitably).
9. Researchers should refer to the guidance and instructions as to how to complete the online ethics review form.<sup>6</sup> **Low risk** applications are reviewed/approved at Departmental/Centre level (**'Departmental Certification'**) by either the supervisor (for student applications), or by the faculty approver (for staff applications). **Higher risk** applications are reviewed/approved by the **Research Ethics Committee**<sup>7</sup>. Ethics review applications are automatically routed to either the Departmental or REC review process. In the case of student applications which are Higher risk, the supervisor will review the application prior to submitting it to the Research Ethics Committee.
10. Higher risk applications, requiring review/approval by the Research Ethics Committee, are deemed to be those where the research:
 

Will involve vulnerable groups<sup>8</sup> or sensitive topics<sup>9</sup>

  - Might induce emotional or psychological stress, anxiety or humiliation
  - Involves deception of participants or that is intentionally conducted without their full and informed consent at the time the study is carried out
  - Might have negative repercussions for individuals or groups

- Requires permission of a gatekeeper for initial access to participants (where involvement of the gatekeeper might raise issues of whether participants' involvement is truly voluntary);
- Will involve more than minimal risk of harm (whether emotional or physical) to the participants or the researcher(s)

Or where:

- The researcher will obtain consent orally but not in writing<sup>10</sup>
- External obligations (e.g. funder requirements, data access requirements) require approval by the Research Ethics Committee

11. If your research may be subject to ethics review by an external body, please refer to § 24 below.
12. Any queries regarding the ethics review procedure should be directed to the Research Governance Manager in the first instance (via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk)).
13. Substantial research projects and projects presenting significant ethical challenges will, on occasion, require Project Advisory Panels to be established to oversee the progress of the project and in such instances, it may be appropriate that a member of the Research Ethics Committee should sit on the Advisory Panel.
14. Ethical approval will normally be required before the commencement of research covered by this policy, or if required by the research funder<sup>11</sup>, at a designated point in the development of the project. Researchers should incorporate an appropriate lead-time into the planning of their research to allow for the deliberation, discussion, possible changes and reconsideration required in the ethics review process.
15. Reviews will be undertaken by the Research Ethics Committee as promptly as reasonably possible, having regard to the circumstances and the urgency with which approval may be required. The timeframes for ethics review can be found in §18 below.
16. The Research Ethics Committee may undertake an expedited review where the ethical risks of the project are not especially complex and where there is a genuine case for urgency due to circumstances which could not have been anticipated and which are outside of the researcher's control<sup>12</sup>. Expedited reviews are carried out by the Chair or Deputy Chair only. Decisions taken by expedited review will be reported to the Research Ethics Committee. Researchers requesting expedited review should email [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk). However, researchers should not expect that urgency will pre-empt the full extent of the review process.
17. Where the Committee is not satisfied with an initial application, the applicant will be consulted with a view to revisions to the project or solutions to ethical problems that are acceptable to both the Committee and the researcher. The Committee may, at its discretion, request advice and guidance from others at the School or from outside experts to assist with advice and review as required. Decisions made by the Research Ethics Committee for each proposal will be recorded either by the Research Governance Manager or within the online ethics review system. The decision will be kept on file for a period of at least seven years or for the duration of the project (whichever is longer).
18. Committee decisions to reject a proposal are very rare. However, should the Committee decline to accept a proposal, the researcher has the right to request that the decision is considered by the Ethics Appeals Panel. See section 46 below.

### Timeframe for research ethics review

19. Researchers must ensure they obtain ethics approval before they commence any data collection. Applications can be submitted at any time; however, students should check any internal Departmental deadlines, and allow for those plus the following timeframes for the review/approval process:

**Low risk/Departmental review:** researchers should check the timeframe with their Department.

**Higher risk/ Research Ethics Committee review:** student applications first go to the relevant project supervisor/academic mentor for review. Students should monitor the status of their application online and send a reminder to the supervisor if necessary. Once the supervisor submits the application to the Research Ethics Committee, students can then expect to receive initial feedback from the Committee within two weeks of submission. In most cases approval may take longer as the student may be asked to provide some additional details, clarifications or to make amendments before approval can be confirmed. Complex applications may require even longer and/or further iterations with the researcher. Students should as a rule allow four weeks for the REC review process (in addition to the review by the supervisor).

**Expedited review:** expedited review should only be requested where there is a genuine case for urgency – see §15 above. Where such a case is presented, the review will be undertaken by the Chair or Deputy Chair of the Research Ethics Committee usually within a few days. Again, however, even in expedited cases time pressure should not be expected to pre-empt the full review process and the iterations or requests for clarification and amendment which require a further round of approval.

### Review of small student research projects undertaken for coursework

20. Where students will be undertaking very small projects as part of their coursework, and these projects are expected to stay within the parameters not requiring REC review<sup>13</sup> the course convenor/class teacher may submit a single/consolidated ethics review form via the online ethics review submission system for the course/assignment that covers the types of projects the students will be conducting in lieu of the students submitting individual review forms.

21. Where a course convenor/class teacher wishes to submit an ethics review form for a whole class in this way, they should enter the course code/title and year in the Project title field (e.g. 'SO451 Cities by Design 2021-22'), and select Yes to question F8 so that the review form is directed to the REC. The course convenor/class teacher should provide a brief note (in the 'Covering comments' box) about any potential ethical concerns they feel the projects might give rise to.
22. Where a student wishes to conduct a study that will not stay within the above Low risk parameters, the student will need to submit an individual ethics review form in the usual way via the online ethics review system for review/approval by the Research Ethics Committee<sup>14</sup>.
23. This option should not be used for dissertations, even where Low risk, for which students should submit an ethics review form themselves.
24. Any questions about this option should be directed to Lyn Grove in the first instance via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk).

### External ethics review

25. Duplication of ethics reviews will be avoided where possible, especially in regard to research that may fall under the rubric of other ethics review bodies (e.g. NHS Research Ethics Committees, or the Research Ethics Committee of another university). In these cases the researcher should provide details of the external review body in the relevant section of the online ethics review form. The researcher will receive confirmation via Research Governance Manager as to whether or not LSE ethics review/approval is also required. The researcher will be asked to submit a copy of the letter of approval from the relevant review body. Notwithstanding the principle of avoiding duplication, if deemed appropriate the LSE Research Ethics Committee will consider the ethical implications of the research in its own right (regardless of whether approval has already been granted externally).
26. As a guide, external ethics review/approval will normally be deemed to be sufficient where the body undertaking the review is:
  - another academic institution within the UK; or
  - an international academic institution operating in a country with equivalent ethical standards to the UK, and has a defined ethics review policy/procedure; or
  - a third party organisation that can demonstrate the existence of an ethics approval process that aligns to the standards applicable to higher education institutions and/or is appropriate for the research in question (e.g. the Health Research Authority, Social Care Research Ethics Committee).
27. In all cases, the researcher should confirm that the external ethics review will cover all research activities to be undertaken by themselves and any LSE researchers involved in the project.
28. Exemption from review by an external partner will not be accepted in lieu of review/approval by the LSE Research Ethics Committee if the study requires review/approval according to the LSE Research Ethics Policy.
29. Where research involves more than one institution, each institution retains formal responsibility for overseeing the ethical review of research conducted under its auspices. Wherever possible the School should accept the decisions made by the Research Ethics Committee of the institution where the Principal Investigator is based.

### Amendments

30. Where a researcher needs to make amendments to a study that has already received ethics approval, the researcher should in the first instance contact the relevant approver (see below) with details of the requested/required change. Submission of a new ethics review form will be avoided wherever possible. However where there are very significant changes the researcher may be asked to submit a new application for review.
31. In the case of research that was originally categorised as Low risk and approved at Departmental level, the researcher should contact the relevant departmental supervisor and/or faculty ethics approver with details of the amendment. If the supervisor or faculty ethics approver is happy to approve the amendment this can be communicated to the researcher via email, but a record should be maintained. If the departmental supervisor and/or faculty ethics approver feel that the proposed amendments are such that the research would now be categorised as Higher risk, they should refer the amendment request to the Research Ethics Committee.
32. In the case of research that was originally categorised as High risk and approved by the Research Ethics Committee, the amendment request should be submitted to the Research Governance Manager (via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk)) who will refer the request to either the Chair or members of the Committee as appropriate for review/approval of the amendment request. The Research Governance Manager will record a note of the amendment and its approval in the online system.

### Informed consent and vulnerable groups

33. Where information is to be collected from human participants, other than in very particular circumstances informed consent will have to be obtained from those subjects for any use of their information. Researchers should refer to the LSE guidance on Informed Consent (which includes two sample templates)<sup>15</sup>.
34. Where proposed research might expose its participants to a risk of harm, the researcher has an ethical duty to consider these risks, even where the participant has consented to participate in the study. It is particularly important to think through carefully the likely impact on vulnerable groups, for example children, incarcerated persons, stateless persons, persons belonging to groups who have been or are often targeted with abuse or

discrimination based on protected characteristics such as race, gender, sexuality, disability or religion, or people with learning disabilities, or students when they are participating in research as students<sup>16</sup>. Some participants may have diminished capacity to give consent and are therefore less able to protect themselves and require specific consideration. Where researchers will have unsupervised access to children or vulnerable adults a Disclosure and Barring Service check may be required. Researchers should refer to the LSE Safeguarding Policy<sup>17</sup> and guidance 'Research with children and vulnerable subjects: DBS checks'<sup>18</sup>.

35. Research that does not entail the direct participation of living human persons may nonetheless indirectly but significantly affect living persons. Researchers may be assessing information about identifiable individuals, the publication or analysis of which may have ethical (and indeed legal) implications. For example, the collection and use of archive, historical, legal, online or visual materials may raise ethical issues (e.g. for families and friends of people deceased), and research on provision of social or human services may impact provision for individuals and groups of service users who did not contribute or consent to, or were not consulted about the research. Researchers should as far as possible consider such implications and outline strategies to mitigate the harms.

### Research conducted outside the UK

36. Where research is to be conducted outside the UK, the researcher must establish whether local ethical review is required by the host country, and if not, how the principles of the Research Ethics Policy can be followed in developing and undertaking the research. The ethical standards that the School expects for UK research apply equally to work undertaken outside the UK. Researchers must, however, ensure that they comply with any legal and ethical requirements of the country/ies where the research is taking place<sup>19</sup>.
37. Where the LSE researcher will be hiring local research assistants or project partners overseas, they must ensure that appropriate methodological and ethical training is given, and also that any such collaborators work in accordance with the principles of the LSE Research Ethics Policy, data protection policies, and Safeguarding Policy. A risk assessment may also be required of any activities to be undertaken by local research assistants.<sup>20</sup>

### Legal and data protection requirements

38. Researchers must comply with any relevant legal requirements. In particular, they must ensure compliance with the UK Data Protection Act 2018 and EU General Data Protection Regulation (GDPR), regardless of where in the world they will be conducting their research.
39. It remains the responsibility of the researcher to ensure that arrangements are in place to maintain the integrity and security of research data. Please refer to Annex A for guidance on LSE research data management. If further guidance is required regarding the security of data the researcher should contact the research data librarian via [datalibrary@lse.ac.uk](mailto:datalibrary@lse.ac.uk).
40. Secondary use of datasets must be given careful consideration by the researcher and the Research Ethics Committee, especially where reliance is being placed on a presumed consent by subjects to the use of their information, or where there is a potential risk of disclosure of sensitive information. Researchers who collect primary data that are to be archived and may be used by others for secondary analysis should be mindful that the consent obtained from the persons providing such data and the safeguards applied to protect their identity should be sufficient for that secondary purpose. (For guidance on these matters please contact the Research Data Librarian via [Datalibrary@lse.ac.uk](mailto:Datalibrary@lse.ac.uk))

### Health and Social Care research

41. Researchers working in the field of health or social care must comply with the UK policy framework for health and social care research<sup>21</sup>. The policy framework applies to health and social care research involving patients, service users or their relatives or carers. This includes research involving them indirectly, for example using information that the NHS or social care services have collected about them. Researchers should check whether their research should undergo ethics review via the Health Research Authority<sup>22</sup>. Under the UK Policy Framework, the researcher carries defined responsibilities as does the School in its capacity as the employer of the investigator. In addition to the ethics procedures outlined here, documentation will be held on record demonstrating compliance with the UK Policy Framework. The Director of the Research Division will provide written confirmation of compliance on behalf of the School, as required by the UK Policy Framework, seeking advice from the Chair of the Research Ethics Committee where necessary.

### Training

42. All students and staff undertaking research involving human participants or data that identifies human subjects are required in the course of their studies or career to have undertaken appropriate training, or to have relevant experience, in order to evaluate the ethical implications of the research they plan to undertake.
43. This policy should be formally incorporated into any undergraduate/postgraduate training programme/documentation offered at departmental level. All degree programmes (undergraduate, Master's and research degrees) must incorporate at least one lecture, seminar or support session that covers research ethics. All students undertaking research for a dissertation or thesis should have access through their supervisor to appropriate advice and support in relation to research ethics. For further information on training please contact [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk). Students should also refer to the training available via LSE LIFE and the PhD Academy.
44. All academic members of the Research Ethics Committee are required to have undertaken appropriate training and/or to have had significant relevant experience before taking up their responsibilities on the Committee.
45. Any members of the Research and Innovation Division whose roles may include providing advice on the

implementation of this Policy are also required to have undertaken suitable training or to have had significant relevant experience before providing advice on the implementation of this Policy.

### **Appeals procedure**

46. As stated in §18 above, Committee decisions to reject a proposal are very rare. However, should the Committee decline to accept a proposal, the researcher has the right to request that the decision is considered by an Ethics Appeals Panel.
47. Appeals should be submitted to the ProDirector for Research in the first instance, who may then convene an appeals panel as appropriate. The constitution of the appeals panel may vary, but would normally include the ProDirector for Research (as Chair), the Chair and/or Deputy Chair of the Research Ethics Committee, and the Deputy Head (Research) of the relevant department (or equivalent in the case of research centres/institutes).

## **RESEARCHER, DEPARTMENTAL AND INSTITUTIONAL MONITORING**

### **Researchers' responsibilities**

48. In the first instance it will be the responsibility of the researcher to monitor the conduct of research that has received ethical approval (for students, in consultation with supervisors). The researcher, together with any Project Advisory Panel or Group where relevant, must ensure that there is an appropriate continuing review of the research, taking into account any possible changes that may occur over the duration of the research project. It is the responsibility of the researcher to alert the Research Ethics Committee if any further ethical implications arise. It is the responsibility of the researcher to ensure that data are securely held and preserved.

### **Departmental/centre/institute responsibilities<sup>23</sup>**

49. Departments are responsible for ensuring that students and staff complete an ethics review where required and obtain approval before commencing any data collection. Students should receive appropriate training including guidance on research design. Following ethics approval (whether of Low risk or Higher risk ethics applications approved by the Research Ethics Committee) Departments/ supervisors are responsible for maintaining supervision of student projects to ensure there is practical compliance with the ethics approval.

Departments are asked to undertake two types of monitoring:

- Monitoring the status of student ethics submissions

Departments (e.g. programme administrators or class teachers) should monitor the ethics submissions from students to ensure that where relevant:

- Students have submitted their ethics review forms within the timeframe expected
- Supervisors have reviewed and approved (or, where relevant, referred to the Research Ethics Committee) the application within the timeframe expected
- That where an application has been categorised as "Approval not required", that the supervisor is asked to check that this is correct
- Auditing of ethics submissions

For applications categorised as Low Risk and approved under 'Departmental Certification', Departments are asked to check periodically that these have undergone review/approval by the appropriate person. The Research Ethics Committee recommends that this monitoring is conducted at two specific times during the academic year – for instance, early in the Lent Term and early or middle of the Summer term.

Departments should therefore have procedures in place to monitor:

- i. that student ethics review forms have been submitted where required and have been approved by the appropriate supervisor;
- ii. that staff ethics review forms have been reviewed/approved by the appropriate departmental/faculty ethics approver.

It is up to Departments how best to organise this process. For instance, course convenors or programme administrators/managers could oversee (i), whereas either the faculty approver or Department manager should oversee (ii). The outcome of both monitoring exercises should be reported to the Departmental research committee (or, in the case of Centres/Institutes, to their management committees).

### **Institutional responsibilities**

50. The Research Ethics Committee will periodically conduct a selective audit of current research projects.
51. Where significant concerns have been raised about the ethical conduct of a study, the Research Ethics Committee can request a full and detailed account of the research for a further ethical review.
52. Where the Research Ethics Committee considers that a study is being conducted in a way which is not in accord with the conditions of its original approval it may consider withdrawal of its approval and require that the research be suspended or discontinued. It is the duty of the Research Ethics Committee to inform the appropriate funding body that ethical approval has been revoked.

### **Failure to comply with this Policy**

53. Failure to undertake a review of the ethical implications of research or to comply with any other aspect of this



Policy or failure to apply reasonable care in assessing the likely ethical implications of a research project, may constitute research misconduct under the School's research misconduct policy and procedures.<sup>24</sup>.

## Footnotes

- <sup>1</sup> <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/ethCod.pdf>
- <sup>2</sup> Should it arise, researchers conducting research involving animals should consider such elements of this policy as may apply, as well as any other relevant guidelines. Please contact the Research Ethics Committee via [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk) to discuss the relevant ethics review process.
- <sup>3</sup> Research involving secondary analysis of established data sets from which it would not be possible to identify any living or recently deceased person need not be subject to the procedure, but wherever it is necessary for data to be effectively anonymised by LSE researchers, the procedure applies.
- <sup>4</sup> <https://www.britisoc.co.uk/media/24850/annex-c-definitions-of-research-and-impact-for-the.pdf>
- <sup>5</sup> [https://www.hhs.gov/ohrp/sites/default/files/the-belmont-report-508c\\_FINAL.pdf](https://www.hhs.gov/ohrp/sites/default/files/the-belmont-report-508c_FINAL.pdf)
- <sup>6</sup> <https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/research-ethics/Research-Ethics-Submission-System>
- <sup>7</sup> The REC is currently reviewing the process and guidance materials with a view to giving supervisors/Departments more flexibility with respect to approving applications currently categorised as Higher risk. It is hoped to have this in place from the 2022-23 academic year onwards.
- <sup>8</sup> Please note that we follow the ESRC definition of vulnerability as follows: 'Vulnerability may be defined in different ways and may arise as a result of being in an abusive relationship, vulnerability due to age, potential marginalisation, disability, and due to disadvantageous power relationships within personal and professional roles. Participants may not be conventionally 'vulnerable', but may be in a dependent relationship that means they can feel coerced or pressured into taking part, so extra care is needed to ensure their participation is truly voluntary.' <https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/frequently-raised-topics/research-with-potentially-vulnerable-people/>
- <sup>9</sup> For example: where research intrudes into the private sphere or delves into some deeply personal experience; where the study is concerned with deviance or social control; where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; where the research deals with things that are sacred to those being studied that they do not wish profaned; or where discussion of the topic could place the participant (or researcher) at risk.
- <sup>10</sup> Written consent does not necessarily require a hard copy or electronic signature - typed confirmation is acceptable. This requirement alone does not require REC review for researchers in the Anthropology department.
- <sup>11</sup> For example, the ESRC requires full ethical scrutiny and approval only after the confirmation of award. However some funders require ethical safeguards to be described in advance of application, and ethical approval after confirmation of award.
- <sup>12</sup> For example, in the case of fast-track funding to address global or national emergencies
- <sup>13</sup> i.e. the students' projects will not involve any vulnerable participants or sensitive topics/data, written consent from all participants WILL be obtained, and there will not be any use of deception
- <sup>14</sup> See footnote 6 regarding changes planned for academic year 2022-23 onwards
- <sup>15</sup> <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/infCon.pdf>
- <sup>16</sup> Since students being asked to participate in research being conducted by a member of faculty or a class teacher may not want to decline participating for fear it might impact their marks
- <sup>17</sup> <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safPol.pdf>
- <sup>18</sup> Forthcoming/link to be added
- <sup>19</sup> A useful resource is the US Department of Health and Human Services International Compilation of Human Research Standards listing, available at: <https://www.hhs.gov/ohrp/international/compilation-human-research-standards/index.html>
- <sup>20</sup> Advice on this should be sought from the Health and Safety team, [Health.and.Safety@lse.ac.uk](mailto:Health.and.Safety@lse.ac.uk)
- <sup>21</sup> <https://www.hra.nhs.uk/documents/1068/uk-policy-framework-health-social-care-research.pdf>
- <sup>22</sup> There is an easy-to-use tool to help you ascertain whether or not you need HRA approval or not at: <http://www.hra-decisiontools.org.uk/ethics/> For further guidance see: <http://www.hra.nhs.uk/research-community/before-you-apply/determine-which-review-body-approvals-are-required/>
- <sup>23</sup> Where 'Department' is stated the same applies to research centres and institutes if appropriate
- <sup>24</sup> <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/codResCon.pdf>

## ANNEX A: USEFUL EXTERNAL AND SCHOOL RESOURCES

### **Anonymisation: managing data protection risk**

See Research Data Toolkit, under Data Management, below

### **Belmont Report**

[https://www.hhs.gov/ohrp/sites/default/files/the-belmont-report-508c\\_FINAL.pdf](https://www.hhs.gov/ohrp/sites/default/files/the-belmont-report-508c_FINAL.pdf)

### **Code of Research Conduct, LSE (incorporating research misconduct policy and procedures)**

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/codResCon.pdf>

### **Data management and data protection (LSE resources)**

Research Data management webpage:

<https://www.lse.ac.uk/library/research-support/research-data-management-and-open-data>

Research Data Toolkit:

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/internal/staffAndStudents/resDatManToo-B460.pdf>

### **Disclosure and Barring Service**

Criminal record checking which may be required if working with children or vulnerable groups.

<https://www.gov.uk/government/collections/dbs-checking-service-guidance--2>

### **ESRC Framework for Research Ethics**

The ESRC requires that the research it supports is designed and conducted in such a way that it meets certain ethical principles; that it is subject to proper professional and institutional oversight in terms of research governance.

<http://www.esrc.ac.uk/files/funding/guidance-for-applicants/esrc-framework-for-research-ethics-2015/>

See also ESRC Postgraduate Training Guidelines:

<https://www.ukri.org/publications/esrc-postgraduate-training-and-development-guidelines/>

### **Ethical Screening of Grants and Donations (LSE procedures)**

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/proEthScr.pdf>

### **Ethics Code, LSE**

The LSE Ethics Code is a set of six core principles, including Responsibility and Accountability, Integrity, and declaring conflicts of interest.

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/ethCod.pdf>

### **Ethics review submission system (LSE): Instructions and guidance for users**

<https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/research-ethics/Research-Ethics-Submission-System>

### **European Science Foundation European Code of Conduct for Research Integrity**

The code addresses the proper conduct and principled practice of systematic research in the natural and social sciences and the humanities in Europe.

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity\\_horizon\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf)

### **Informed consent (LSE guidance)**

Including two sample Information Sheet and Consent form templates

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/infCon.pdf>

### **International Compilation of Human Research Standards listing**

Published by the US Department of Health and Human Services, provides a listing of laws, regulations, and guidelines on human subjects protections in 130 countries and from many international organizations:

<https://www.hhs.gov/ohrp/international/compilation-human-research-standards/index.html>

### **Mental Capacity Act (2005)**

<http://www.legislation.gov.uk/ukpga/2005/9/contents>

### **Nuffield Council on Bioethics: The ethics of research involving animals**

<http://nuffieldbioethics.org/project/animal-research/>

### The Research Ethics Guidebook

An online guide for social science researchers

<http://www.ethicsguidebook.ac.uk/>

### Research Privacy Notice (LSE), for Participants, Partners and Collaborators

<https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Information-Records-Management/Privacy-Notice-for-Research-v1.1.pdf>

### UKRI Policy and Guidelines on the Governance of Good Research Conduct

The policy aims to help researchers and research organisations to manage their research, and provides guidance of the reporting and investigation of unacceptable research misconduct.

<https://www.ukri.org/wp-content/uploads/2021/03/UKRI-050321-PolicyGuidelinesGovernanceOfGoodResearchConduct.pdf>

### UKRIO Code of Practice for Research: Promoting good practice and preventing misconduct

<http://www.ukrio.org/what-we-do/code-of-practice-for-research/>

### UK policy framework for health and social care research

The policy framework applies to health and social care research involving patients, service users or their relatives or carers. This includes research involving them indirectly, for example using information that the NHS or social care services have collected about them.

<https://www.hra.nhs.uk/documents/1068/uk-policy-framework-health-social-care-research.pdf>

See the [Calendar](#) for further information about Programme Regulations, Course Guides, School and academic Regulations.

#### Review schedule:

Review interval	Next review due by	Next review start
3 years	July 2025	November 2024

#### Version history:

Version	Date	Approved by	Notes
Nov 14 annex	Nov 2014	REC, RC	Completed review of policy plus annexes A, B and C
B2016_v4 annexB_v5	Nov 2016 Oct 2017	REC Chair RC Chair	Minor amendment of wording to Q6 (re DMP) in Annex B Updated web links; small change to fieldwork/risk assessment wording; sentence added to start of Part II re circumstances where Self-certification of ethics review is not appropriate
v8	Dec 2018	REC, RC	Changes to Self-certification process; revised policy and annexes
v9	Aug 2020		Updated ethics review procedure to align with online ethics review submission system; removal of Annex B (the previous ethics review from) and Annex C (the previous flowchart)
v9(i)	Sept 2020	Research Governance Manager	Re-insertion of a couple of missing footnotes
v10	March 2022	REC, Feb 2022; RC, March 2022; RC Chair May 2022	Review of policy. New sections re external review, amendments, timeframes, small student projects, and re-introduction/ update re departmental monitoring; ref to Belmont report; change to Appeals process.

#### Contacts:

Position	Name	Email	Notes
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#### Communications and Training:

Will this document be publicised through Internal Communications?	Yes
Will training needs arise from this policy	Possibly

If Yes, please give details:

Staff and students should contact their Department/Centre/Institute regarding any training needs



# CODE OF RESEARCH CONDUCT

Incorporating procedures for the investigation of allegations of research misconduct

## I PRINCIPLES

1. The School is committed to maintaining the integrity and probity of academic research. All research should be conducted to the highest levels of ethics and integrity and it is of fundamental importance that the conduct of research and the dissemination of the results of research should be in accordance with the principles of independence, rigour, objectivity, fairness and professionalism, to ensure that findings are robust and defensible.
2. This Code of Research Conduct applies to all members of the School (including students, academic and research staff, honorary and visiting staff) in line with requirements set out by national and international regulatory bodies, professional and regulatory research guidance and research ethics frameworks issued in appropriate areas. It accompanies the School's Research Ethics Policy<sup>1</sup> which applies to all research involving human participants or involving data relating to directly identifiable human subjects, and forms a part of the School's overarching Ethics Code<sup>2</sup>. It applies to all outputs identified by the author as research, explicitly or implicitly, and all outputs communicating the outcomes, findings or conclusions of research, but does not apply to the outputs of those drawing from research, whether in editorials, op-eds, blogs and other such communications.
3. This Code of Research Conduct is consistent with the UUK Concordat to support research integrity<sup>3</sup>, RCUK Policy and Guidelines on the Governance of Good Research Conduct<sup>4</sup>, and the UKRIO Code of Practice for Research: Promoting Good Practice and Preventing Misconduct<sup>5</sup>, and the UKRIO Procedure for the Investigation of Misconduct in Research<sup>6</sup>.
4. It is the responsibility of all individuals to ensure their own compliance with this Code and related policies. Links to the relevant School policies and resources regarding good research conduct can be found at Annex A. Similarly, the School accepts its responsibilities as the employer of investigators.
5. All allegations of breaches of the Code will be investigated by the School in accordance with the Procedures for the investigation of allegations of misconduct outlined in section IV below. A flowchart of the procedure can be found at Annex B.
6. Any comments or queries regarding the Code should be addressed in the first instance to the Research Governance Manager via [research.conduct@lse.ac.uk](mailto:research.conduct@lse.ac.uk)

## II CODE OF RESEARCH CONDUCT

7. All LSE staff and students (and any non-LSE staff undertaking research on behalf of LSE or using LSE facilities) are expected to observe the highest standards of integrity, honesty and professionalism and to embed good practice in every aspect of their work. This includes the interpretation and presentation of research results and contributions to the peer review process and the training of new researchers, staff and students as well as the conduct of the research itself. Research is deemed to follow good practice if it is conducted and disseminated in accordance with the principles of honesty, openness, transparency and research rigour, as set out in the School's Ethics Code, and in accordance with the School's Research Ethics Policy.
8. In addition, specific requirements for good practice in research include:
  - Robust and appropriate research design
  - Documenting of methods and outcomes
  - Honesty in the reporting of findings
  - Acknowledging the contribution of others, whether they be researchers, funders or other stakeholders
  - Honesty and fairness with respect to the attribution of authors of any research outputs. This should include appropriate recognition of the work of research students or other researchers who have contributed to the research and/or publication. (It is recommended that researchers refer to the guidance on authorship provided by the International Committee of Medical Journal Editors (ICMJE), the relevant sections of which are provided in Annex C of this document.)
  - Honesty in the citing of others' research and also of one's own previous relevant or similar research
  - Acknowledging the funders of the research in any research outputs
  - Transparency in reporting any impartiality or conflicts of interest of the researchers or other stakeholders involved in the research
  - Conducting the research in line with relevant ethical standards
  - Responsible data management, including the effective storing and archiving of data in accordance with relevant standards and policies, including those of Open Access. (For guidance see the Library's pages on research data management<sup>7</sup>.)
  - Responsible use of research funds
  - Responsibility for the needs and training of early career researchers

Researchers may find it useful to refer to the UKRIO 'Checklist for researchers' when designing, conducting and disseminating their work. See Annex D

9. *Unacceptable* conduct includes the following (the list is not exhaustive):

- **Fabrication, falsification, fraud:** This includes the creation of false data or other aspects of research, including documentation and participant consent; the inappropriate manipulation and/or selection of data, imagery and/or consents; any other kind of fraudulent behaviour.
- **Plagiarism:** This includes the copying or misappropriation of ideas (or their expression), text, software, or data (or some combination thereof) without permission and due acknowledgement. Researchers are strongly encouraged to agree and record in advance with any co-authors and research assistants how any work carried out by them will be attributed in publications.

Self-plagiarism ("presenting one's own previously published work as though it were new"<sup>8</sup>) while not considered to be misconduct is deemed poor practice in all but limited circumstances<sup>9</sup>.

• **Misrepresentation:** this includes:

- (i) Misrepresentation of data, for example suppression of relevant findings and/or data, or knowingly, recklessly or by gross negligence, presenting a flawed interpretation of data;
- (ii) Undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication;
- (iii) Misrepresentation of interests, including failure to declare material interests either of the researcher or of the funders of the research, including failure to disclose the fact that research has been funded by the subject or commissioner of the research;
- (iv) Misrepresentation of qualifications and/or experience, including claiming or implying qualifications or experience which are not held;
- (v) Misrepresentation of involvement, such as inappropriate claims to authorship and/or attribution of work where there has been no significant contribution, or the denial of authorship or full acknowledgement where another researcher or author has made a significant contribution.

• **Mismanagement or inadequate preservation of data and/or primary materials.** This includes failure to:

- (i) Keep clear and accurate records of the research procedures followed and the results obtained, including interim results;
- (ii) Hold records securely in paper or electronic form;
- (iii) Make relevant primary data and research evidence accessible to others for reasonable periods after the completion of the research: data should normally be preserved and accessible for seven years, but for projects of clinical or major social, environmental or heritage importance, for 20 years or longer;
- (iv) Manage data according to the research funder's data policy and all relevant legislation;
- (v) Wherever possible, deposit data permanently within a national collection. Responsibility for proper management and preservation of data and primary materials is shared between the researcher and the research organisation.

• **Breach of duty of care**, which may involve but not be limited to the following:

- (i) Deliberately, recklessly or by gross negligence: disclosing improperly the identity of individuals or groups involved in research without their consent, or other breach of confidentiality; placing any of those involved in research in danger, whether as subjects, participants or associated individuals, without their prior consent, and without appropriate safeguards even with consent; this includes reputational danger where that can be anticipated;
- (ii) Not taking all reasonable care to ensure that the risks and dangers, the broad objectives and the sponsors of the research are known to participants or their legal representatives;
- (iii) Failing to ensure appropriate informed consent is obtained properly, explicitly and transparently;
- (iv) Not observing legal and reasonable ethical requirements including those of the LSE's Research Ethics Policy;
- (v) Improper conduct in peer review of research proposals or results (including manuscripts submitted for publication); this includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material provided for the purposes of peer review; breach of confidentiality or abuse of material provided in confidence for peer review purposes;

• **Collusion** by the deliberate participation in the research misconduct of another person, or concealment of such action by others.

• **Interference** by the intentional damage to, withholding or removal of, the research-related property of another person.

• **Negligence** by the culpable serious departure from contemporary legal, institutional and ethical practices in research, including unjustifiable departure from accepted practices, procedures and protocols.

• **Failure to declare or resolve a conflict of personal interest in research**, including failure to disclose the source of funding for the research where the funder has an interest in the outcome of the research.

- Proprietary practices such as the making of a **vexatious allegation** (or threat of allegation) of plagiarism for reasons other than the protection of academic integrity.
  - **Breach of confidentiality** required by external research contractors.
10. Failure to comply with the School's Research Ethics Policy is deemed to be in breach of this Code of Research Conduct, as is failure to deal properly with allegations of misconduct.

### III UPHOLDING THE CODE

#### Responsibilities of researchers

11. All Members of the School are under a general obligation to preserve and protect the integrity and probity of research and to uphold the principles of good research conduct as set out in section II above. Failure to uphold the Code of Research Conduct and the LSE Research Ethics Policy will be deemed to be research misconduct. If any member of the School has good reason to suspect any research misconduct, they should report their suspicions as prescribed below. Staff and students may, in the first instance, raise any concerns with the Principal Investigator of their research project, their mentor, Head of Department or supervisor as appropriate. In line with the School's Whistle-blowing (Public Interest Disclosure) policy (see Annex A), anyone making such an allegation will be protected from any type of punitive action, provided the disclosure is made in good faith. However, members of the School should bear in mind that an allegation of academic impropriety is serious and potentially defamatory, and if made maliciously could lead to the threat (or even the instigation) of legal proceedings.
12. There is a distinction between poor practices, such as weak record-keeping, which can be corrected or prevented by training, and unacceptable types of research misconduct such as those highlighted in §9 above. Minor infractions, where there is no evident intention to deceive, may be addressed informally through mentoring, education and guidance.
13. Researchers should comply with the School's policies and procedures on researcher safety and work with the relevant professional services divisions to enable the School to exercise its duty of care with respect to their safety.

#### Responsibilities of the School

14. As per §11 above, individuals are responsible for ensuring compliance with the Code. However, Departments, Institutes and Research Centres are responsible for promoting standards of good research conduct and ensuring that all staff and students receive appropriate training in standards of research conduct and research ethics as appropriate to their research. The School undertakes to provide the appropriate environment to promote good research conduct and will endeavour to underpin all of its work with the highest standards of ethics and integrity and to ensure that research is conducted in accordance with the principles of independence, rigour, objectivity, fairness and professionalism. The School also undertakes to ensure that transparent, robust and fair processes are in place to handle allegations of misconduct fairly and effectively.
15. The School will monitor, and where necessary improve, the suitability and appropriateness of the mechanisms in place to provide assurances over the ethics and integrity of research conducted by those subject to this Code.
16. The School supports the Russell Group 'Statement of Cooperation in respect of cross-institutional research misconduct allegations'<sup>10</sup>, which sets out the desired standards for cross-institutional investigations between Russell Group members and other universities and/or research organisations (including those outside the UK).

### IV PROCEDURES FOR THE INVESTIGATION OF ALLEGATIONS OF MISCONDUCT

17. The following principles will underpin the investigation of allegations:
  - i) Investigation is a neutral act to establish whether it is necessary to invoke the formal disciplinary procedures.
  - ii) Any investigation will be carried out as fully, fairly and expeditiously as possible.
  - iii) Confidentiality will be maintained throughout the investigatory stage.
  - iv) No-one making an allegation of misconduct in research will be victimised for having made an allegation.
  - v) However, it is recognised that the School must protect staff from allegations which are mischievous, frivolous and malicious or reckless or wholly without substance; appropriate action will be taken against any person who is found to have made a malicious or reckless allegation.
  - vi) Researchers who are found not to have committed research misconduct will be supported and appropriate steps taken to restore their reputation and that of any relevant research project(s).
  - vii) A member of staff against whom an allegation of misconduct is formally made and investigated will be given full details of the allegation and may be accompanied when interviewed as part of the investigatory process.
18. In order to uphold the reputation of the School, and to protect the interests of any relevant funding bodies or publishers, investigations of research misconduct will not be terminated on account of the member of staff or student under investigation leaving the School. Staff and students who have left the institution will be invited to continue to participate. Should they choose not to, the School may continue to consider the allegations against them in their absence.

19. This procedure will be followed for allegations of research misconduct received in the context of the School's Whistleblowing (Public Interest Disclosure) Policy<sup>11</sup>.
20. Any conflicts of interest must be avoided and those who have any personal interest, real or perceived, in the allegation should be disqualified from acting as Screener or undertaking any other role in the investigation.
21. The following definitions apply for the purposes of this Policy:

**Research:** This policy adopts the definition used by the Funding Councils for REF2014:

"...research is defined as a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research."

**Complainant:** The person, or persons, bringing an allegation of research misconduct. The Complainant may or may not be a member of the University.

**Named Person:** The individual nominated by LSE to have responsibility for receiving allegations of research misconduct. They will initiate and supervise the procedure for investigating allegations of research misconduct. The Named Person is the LSE **School Secretary**. In the case of any conflicts of interest a nominated alternate will carry out this role. This will be a nominated ex-Head of Department.

**Respondent:** The person, or persons, against whom the allegation of research misconduct is made.

**Screener:** An independent scholar nominated to investigate the allegation and advise the School Secretary whether or not there is substance to the case.

### Preliminary steps

22. An allegation of research misconduct must be made in writing, supported by a detailed written statement substantiating the allegation, to the School Secretary (the Named Person) via the email address [research.conduct@lse.ac.uk](mailto:research.conduct@lse.ac.uk). The School Secretary (supported by the Research Governance Manager) will formally acknowledge receipt of the allegation in writing to the Complainant and advise him/her of the Procedure that will be followed.
23. The identity of the Complainant shall be kept confidential. Exceptionally, if the School Secretary judges that revelation of the identity of the Complainant is essential to the fairness of the proceedings, then the Complainant will be asked to agree to the disclosure of his/her identity, or to withdraw the allegation.
24. Where necessary, immediate action will be taken to prevent any further consequences/risks of the alleged misconduct.
25. The School Secretary will review the nature of the allegation and assess whether the case warrants further investigation (i.e. whether the complaint falls within the definition of research misconduct as outlined above). This should be completed within 10 working days of receipt of the allegation. In making this assessment the School Secretary may consult with one or all of the following as necessary: the Chair of the Research Ethics Committee; the Director of Research and Innovation; the Research Governance Manager.
26. If the School Secretary deems that the allegation is not serious or may be the result of a misunderstanding or dispute between individuals, attempts will be made to resolve the situation by informal discussion, arbitration or dispute resolution.
27. If the School Secretary determines that the allegation is mistaken or malicious, the allegations will be dismissed, and this will be communicated in writing to the Complainant (and any other party who had been informed initially of the allegation), setting out the reasons why the allegation cannot be investigated under the Procedure.
28. If the School Secretary decides that the allegation is vexatious, malicious or otherwise an abuse of process then s/he may invoke appropriate disciplinary action against the Complainant, or legal action if the Complainant is not a member of the School.
29. Those who have made allegations in good faith will not be penalized.
30. If the School Secretary determines that the allegations cannot be discounted, he/she will inform the Respondent of the allegation and the procedures under which it is to be investigated. The Respondent will be given the opportunity to respond to the allegations.
31. The School Secretary will inform the Director and the relevant Head of Department or Research Centre Director that the allegation has been received. Where necessary the directors of Human Resources, Research Division, and Finance will also be informed. Any such communications will emphasize that the allegations are as yet unproven and that the information is confidential.
32. In accordance with the current requirements of Research Councils UK, where the Respondent is currently funded by RCUK (either for the research in question or other research) LSE will be required to inform the relevant Council. However, only anonymised data will be provided to the research council, unless the School Secretary deems that

the nature of the allegation is sufficiently serious – for instance where there is a risk of harm to others – that identifiable information should be provided, in confidence, to the council.

### Screening stage

33. Where the School Secretary has determined that the allegation cannot be discounted, s/he will appoint a Screener to investigate the allegation and determine whether there is substance to the case. The Screener will collect relevant documentary evidence from the Complainant and the Respondent. This may include, but will not be limited to, research notebooks, papers, witness statements and computer records. If necessary, the Screener may seek advice in writing from experts both within the School and outside.
34. Within 30 working days of appointment of the Screener, the Screener will submit a confidential written report to the School Secretary together with any documentation collected during the investigation and any written comments submitted by the Respondent. The report will advise the School Secretary either:
  - i) The allegation has no substance, or:
  - ii) The allegation has substance.
35. The School Secretary will review the advice and findings of the Screener and will decide:
  - i) That the allegation has no substance and is dismissed, or:
  - ii) That the allegation has substance but may be dealt with under informal procedures, or:
  - iii) That the allegation has substance and may constitute good cause for disciplinary proceedings to be taken in accordance with the relevant section of the Academic Annex<sup>12</sup> (in relation to Academic staff or contract researchers) or the appropriate disciplinary regulations (in relation to other staff and to students).
36. The School Secretary will notify both the Complainant and the Respondent in writing of his/her decision within 30 working days of his/her receipt of the advice and findings of the Screener. S/he will also notify the Director and the relevant Head of Department or Director of Research Centre or Institute of the decision.
37. As per §27 above, if the School Secretary decides that the allegation is vexatious, malicious or otherwise an abuse of process then s/he may invoke appropriate disciplinary action against the Complainant, or legal action if the Complainant is not a member of the School.
38. Those who have made allegations in good faith will not be penalized.

### Formal investigation

39. As per §33(iii) above, where the School Secretary has decided that an allegation has substance and that a formal investigation under the Academic Annex is appropriate, such an investigation will be undertaken. To avoid duplication, evidence gathered as part of the screening conducted under this Code of Research Conduct may be used in the subsequent formal investigation and in the course of any disciplinary proceedings, as appropriate.
40. The School Secretary will ensure that appropriate administrative action is taken as necessary to protect the interests of any relevant funding bodies or publishers and to meet all contractual obligations.
41. All documents relating to the investigation must be collected and forwarded to the Director of the Research Division to be filed for a period of six years. The data will be kept securely and in accordance with the rights of the data subjects.
42. A report on allegations of misconduct and their outcome, where appropriate, will be made to the Research Committee annually. The Higher Education Funding Council for England also requires an annual

### Footnotes

- <sup>1</sup> <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/resEthPolPro.pdf>
- <sup>2</sup> <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/ethCod.pdf>
- <sup>3</sup> <http://www.universitiesuk.ac.uk/highereducation/Pages/Theconcordattosupportresearchintegrity.aspx>
- <sup>4</sup> <http://www.rcuk.ac.uk/documents/reviews/grc/rcukpolicyguidelinesgovernancegoodresearchconduct-pdf/>
- <sup>5</sup> <http://www.ukrio.org/what-we-do/code-of-practice-for-research/>
- <sup>6</sup> <http://ukrio.org/wp-content/uploads/UKRIO-Procedure-for-the-Investigation-of-Misconduct-in-Research.pdf>
- <sup>7</sup> <http://www.lse.ac.uk/library/usingTheLibrary/academicSupport/RDM/home.aspx>
- <sup>8</sup> American Psychological Association (2010) The Publication Manual of the American Psychological Association. Sixth Edition, p.170.
- <sup>9</sup> Ibid, p.16
- <sup>10</sup> <https://russellgroup.ac.uk/policy/policy-documents/research-integrity-statement-of-cooperation/>
- <sup>11</sup> See <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/lsePubIntDisPro.pdf>
- <sup>12</sup> <https://www.lse.ac.uk/intranet/staff/humanResources/internal/pdf/academicAnnex.pdf>

## ANNEX A: SCHOOL AND EXTERNAL RESOURCES

### 1. LSE RESOURCES

**Academic Annex.** The Academic Annex can be found at:

<https://www.lse.ac.uk/intranet/staff/humanResources/internal/pdf/academicAnnex.pdf>

**Data protection policy.** The policy can be found at:

<http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/datProPol.pdf>

And guidance regarding the Data Protection and Research is at:

<http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/datProRes.pdf>

**Data Security policies, procedures and guidelines.** Please refer to the guidance and links at:

<http://www.lse.ac.uk/intranet/LSEServices/IMT/about/policies/home.aspx>

**Ethics Code:** A set of six core principles underpinning life at the LSE. All members of the LSE community, including students, staff, visiting appointments and governors, are expected to behave in line with these principles.

<http://www2.lse.ac.uk/intranet/LSEServices/ethics/home.aspx>

**Health and Safety, travel and field work (School policies and legislation):** Information on the measures that the School is taking to ensure the health, safety, and welfare of everyone who works, studies or visits the premises or may be affected by the activities of the School, as well as those undertaking fieldwork, can be found at:

<http://www2.lse.ac.uk/intranet/LSEServices/healthAndSafety/Home.aspx>

See also Researcher Safety guidance below.

**Intellectual Property:** currently under development – contact the Director of the Research Division for more information.

Research Data Management: Guidance can be found at:

<http://www.lse.ac.uk/library/usingTheLibrary/academicSupport/RDM/home.aspx>.

**Research Ethics Policy and Guidelines:** Details of the School's Research Ethics Policy and procedures can be found at:

<http://www2.lse.ac.uk/intranet/researchAndDevelopment/researchPolicy/ethicsGuidanceAndForms.aspx>

Researcher Safety Policy and Guidance: For any issues concerning safety please contact: [Health.And.Safety@lse.ac.uk](mailto:Health.And.Safety@lse.ac.uk)

**Whistleblowing Policy (Public Interest Disclosure).** See:

<http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/lsePubIntDisPro.pdf>

### 2. EXTERNAL RESOURCES

**UUK Concordat to support research integrity**

<https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2019/the-concordat-to-support-research-integrity.pdf>

**RCUK Policy and Guidelines on the Governance of Good Research Conduct**

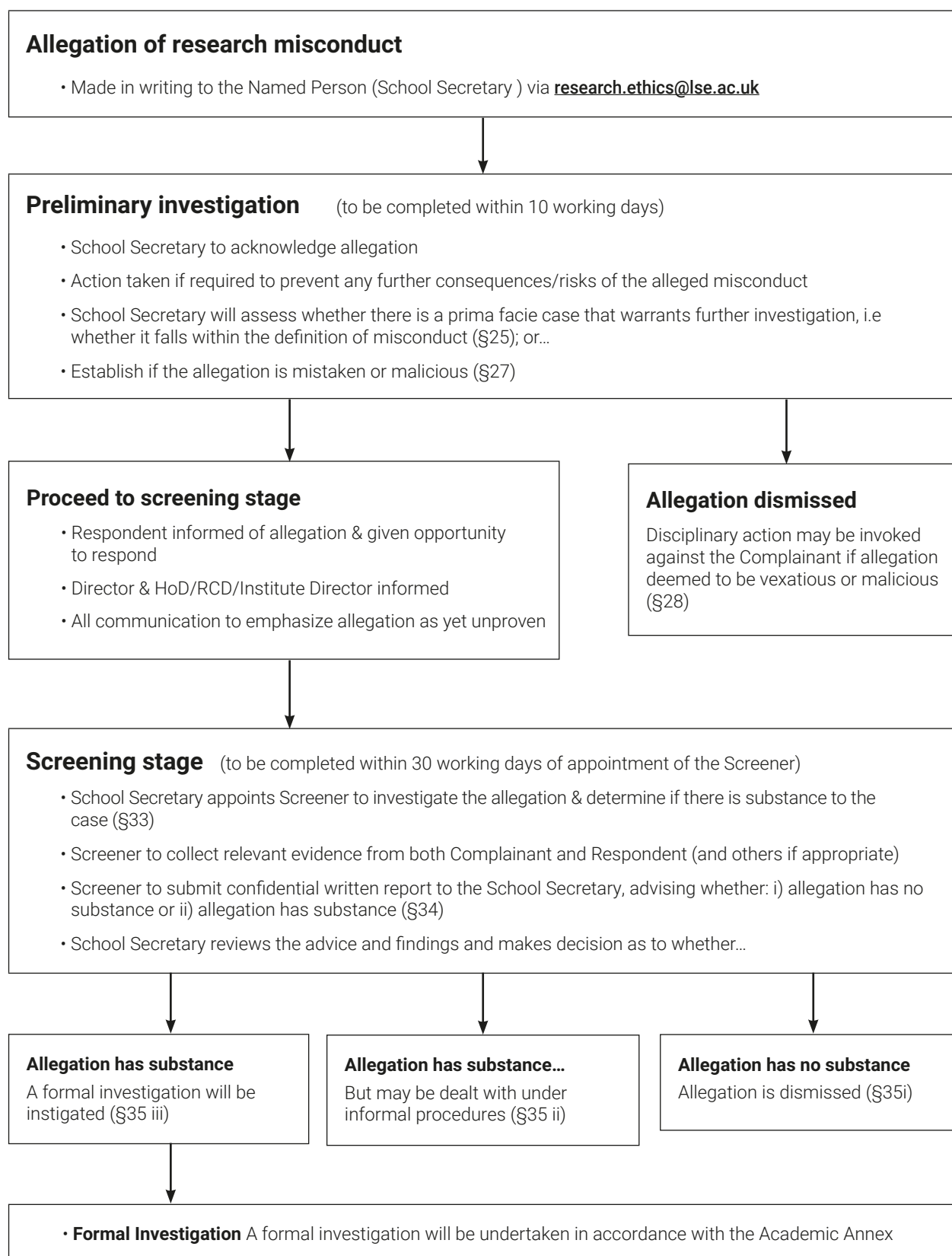
<http://www.rcuk.ac.uk/RCUK-prod/assets/documents/reviews/grc/RCUKPolicyandGuidelinesonGovernanceofGoodResearchPracticeFebruary2013.pdf>

**UKRIO Code of Practice for Research: Promoting Good Practice and Preventing Misconduct.**

<http://www.ukrio.org/what-we-do/code-of-practice-for-research/>



## ANNEX B: FLOWCHART OF THE RESEARCH MISCONDUCT PROCEDURE



## ANNEX C: PUBLICATION ETHICS

The following sections are from the International Committee of Medical Journal Editors (ICMJE) guidance on authorship:<sup>13</sup>

The ICMJE recommends that authorship be based on the following 4 criteria:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- Drafting the work or revising it critically for important intellectual content; AND
- Final approval of the version to be published; AND
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

In addition to being accountable for the parts of the work he or she has done, an author should be able to identify which co-authors are responsible for specific other parts of the work. In addition, authors should have confidence in the integrity of the contributions of their co-authors.

All those designated as authors should meet all four criteria for authorship, and all who meet the four criteria should be identified as authors. Those who do not meet all four criteria should be acknowledged—see Section II.A.3 below. These authorship criteria are intended to reserve the status of authorship for those who deserve credit and can take responsibility for the work. The criteria are not intended for use as a means to disqualify colleagues from authorship who otherwise meet authorship criteria by denying them the opportunity to meet criterion #s 2 or 3. Therefore, all individuals who meet the first criterion should have the opportunity to participate in the review, drafting, and final approval of the manuscript.

The individuals who conduct the work are responsible for identifying who meets these criteria and ideally should do so when planning the work, making modifications as appropriate as the work progresses. It is the collective responsibility of the authors, not the journal to which the work is submitted, to determine that all people named as authors meet all four criteria; it is not the role of journal editors to determine who qualifies or does not qualify for authorship or to arbitrate authorship conflicts. If agreement cannot be reached about who qualifies for authorship, the institution(s) where the work was performed, not the journal editor, should be asked to investigate. If authors request removal or addition of an author after manuscript submission or publication, journal editors should seek an explanation and signed statement of agreement for the requested change from all listed authors and from the author to be removed or added.

[...]

Contributors who meet fewer than all 4 of the above criteria for authorship should not be listed as authors, but they should be acknowledged. Examples of activities that alone (without other contributions) do not qualify a contributor for authorship are acquisition of funding; general supervision of a research group or general administrative support; and writing assistance, technical editing, language editing, and proofreading. Those whose contributions do not justify authorship may be acknowledged individually or together as a group under a single heading (e.g. "Clinical Investigators" or "Participating Investigators"), and their contributions should be specified (e.g., "served as scientific advisors," "critically reviewed the study proposal," "collected data," "provided and cared for study patients," "participated in writing or technical editing of the manuscript").

Because acknowledgment may imply endorsement by acknowledged individuals of a study's data and conclusions, editors are advised to require that the corresponding author obtain written permission to be acknowledged from all acknowledged individuals.

### Footnotes:

<sup>1</sup> <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/resEthPolPro.pdf>

<sup>2</sup> <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/ethCod.pdf>

<sup>3</sup> <http://www.universitiesuk.ac.uk/highereducation/Pages/Theconcordattosupportresearchintegrity.aspx>

<sup>4</sup> <http://www.rcuk.ac.uk/documents/reviews/grc/rcukpolicyguidelinesgovernancegoodresearchconduct-pdf/>

<sup>5</sup> <http://www.ukrio.org/what-we-do/code-of-practice-for-research/>

<sup>6</sup> <http://ukrio.org/wp-content/uploads/UKRIO-Procedure-for-the-Investigation-of-Misconduct-in-Research.pdf>

<sup>7</sup> <http://www.lse.ac.uk/library/usingTheLibrary/academicSupport/RDM/home.aspx>

<sup>8</sup> American Psychological Association (2010) The Publication Manual of the American Psychological Association. Sixth Edition, p.170.

<sup>9</sup> Ibid, p.16

<sup>10</sup> <https://russellgroup.ac.uk/policy/policy-documents/research-integrity-statement-of-cooperation/>

<sup>11</sup> See <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/lsePubIntDisPro.pdf>

<sup>12</sup> <https://www.lse.ac.uk/intranet/staff/humanResources/internal/pdf/academicAnnex.pdf>

<sup>13</sup> <http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>



## ANNEX D: UKRIO CHECKLIST FOR RESEARCHERS

## Recommended checklist for researchers

The Checklist lists the key points of good practice in research for a research project and is applicable to all subject areas. More detailed guidance can be found in section 3. A PDF version is available from [www.ukrio.org](http://www.ukrio.org)

**Before conducting your research, and bearing in mind that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research:**

- 1.** Does the proposed research address pertinent question(s) and is it designed either to add to existing knowledge about the subject in question or to develop methods for research into it?
- 2.** Is your research design appropriate for the question(s) being asked?
- 3.** Will you have access to all necessary skills and resources to conduct the research?
- 4.** Have you conducted a risk assessment to determine:
  - a.** Whether there are any ethical issues and whether ethics review is required;
  - b.** The potential for risks to the organisation, the research, or the health, safety and well-being of researchers and research participants; and
  - c.** What legal requirements govern the research?
- 5.** Will your research comply with all legal and ethical requirements and other applicable guidelines, including those from other organisations and/or countries if relevant?
- 6.** Will your research comply with all requirements of legislation and good practice relating to health and safety?
- 7.** Has your research undergone any necessary ethics review (see 4(a) above), especially if it involves animals, human participants, human material or personal data?
- 8.** Will your research comply with any monitoring and audit requirements?
- 9.** Are you in compliance with any contracts and financial guidelines relating to the project?
- 10.** Have you reached an agreement relating to intellectual property, publication and authorship?
- 11.** Have you reached an agreement relating to collaborative working, if applicable?
- 12.** Have you agreed the roles of researchers and responsibilities for management and supervision?
- 13.** Have all conflicts of interest relating to your research been identified, declared and addressed?
- 14.** Are you aware of the guidance from all applicable organisations on misconduct in research?

**When conducting your research:**

1. Are you following the agreed research design for the project?
2. Have any changes to the agreed research design been reviewed and approved if applicable?
3. Are you following best practice for the collection, storage and management of data?
4. Are agreed roles and responsibilities for management and supervision being fulfilled?
5. Is your research complying with any monitoring and audit requirements?

**When finishing your research:**

1. Will your research and its findings be reported accurately, honestly and within a reasonable time frame?
2. Will all contributions to the research be acknowledged?
3. Are agreements relating to intellectual property, publication and authorship being complied with?
4. Will research data be retained in a secure and accessible form and for the required duration?
5. Will your research comply with all legal, ethical and contractual requirements?

[illegible]

## 116 School Regulations

### Review schedule:

Review interval	Next review due by	Next review start
3 years	Delayed to AY 2020-21	January 2021

### Version history:

Version	Date	Approved by	Notes
v13	September 2016	Chair RC, Oct 16; VCAB Jan 17	
v14 (c)	November 2017	RC, Oct 17; VCAB, Nov 17;	Due to changes in RCUK policy, Apr 17
v15	July 2018	RC, June 2018; VCAB July 2018.	Reference (§16) to RGIF Statement of Cooperation
v16	July 2019	Chair RC, July 2019	Minor correction and addition to Annex C
v17	October 2020	Research Committee, June 2020	Change of terminology: 'Preliminary Investigation' to 'Preliminary Steps'
v17b	January 2021	Chair RC, 06.01.21	Change of contact email to research.conduct@lse.ac.uk
v18	November 2021	Chair RC, 17.11.21	Bullet point addition to §9; minor wording changes to §21 and §25

### Contacts:

Position	Name	Email	Notes
Research Governance Manager	Lyn Grove	<a href="mailto:l.grove@lse.ac.uk">l.grove@lse.ac.uk</a>	Author

### Communications and Training:

Will this document be publicised through Internal Communications?	<b>Yes/ No</b>
Will training needs arise from this policy	<b>Yes/ No</b>
If Yes, please give details:	

## APPEALS REGULATIONS FOR RESEARCH STUDENTS

These Regulations are approved by the Academic Board.

They apply to any new and continuing research student who wants to appeal against a decision made by LSE academic departments (in relation to upgrade and de-registration) and by examiners (in relation to a final examination outcome) in and after the 2015/6 academic year. They do not apply to MRes students who should use the Appeals Regulations for taught students <https://info.lse.ac.uk/Staff/Divisions/Academic-Registrars-Division/Teaching-Quality-Assurance-and-Review-Office/Assets/Documents/Calendar/AppealsRegulations-for-all-students-from-2019-20.pdf>

### Procedure for making an appeal

1. You can appeal against upgrade, progression and de-registration decisions made by LSE academic departments and decisions made by examiners appointed by the LSE following an MPhil or PhD examination.
2. These Regulations govern the procedure for making an appeal. They do not apply to complaints about issues affecting the provision of teaching, learning and supervision. For information on such complaints, see the [Student Complaint Procedure](#).
3. If you want to make an appeal, you must do so within 20 working days from when the School has confirmed a final upgrade outcome, a de-registration decision or an MPhil or PhD examination outcome. To make an appeal, you should complete the appeal form.
4. This appeal procedure is an internal process and not a legal process. We expect you to represent yourself. However, you can get advice from the LSE Students' Union Advice Centre.
5. You can withdraw your appeal at any stage without completing the procedure by confirming this in writing (by email) to the PhD Academy Deputy Director.

### Decisions you can appeal against

6. You can appeal against:
  - 6.1 your department's decision that you have not met the requirements to be upgraded to the PhD and your registration should be terminated;
  - 6.2 your department's decision that you have not met the annual progression requirements of your programme and your registration should be terminated;
  - 6.3 your department's decision that following upgrade or annual progression review you have not met the requirements for continued PhD registration and that continued registration is only permitted as an MPhil candidate;
  - 6.4 your examiners' decision not to award you an MPhil or PhD degree;
  - 6.5 your examiners' decision that you are required to complete major revisions to your thesis and be re-examined for the MPhil or PhD degree.

### Grounds for an appeal: departmental decision on upgrade or de-registration

7. For an appeal against a departmental decision on upgrade, progression, or termination of registration, you can make an appeal on any or all of the following grounds (reasons):
  - 7.1 that the department did not follow the correct procedure such that there is reasonable doubt that the decision would have been the same if the department had followed the correct procedure;
  - 7.2 that there is evidence of bias, prejudice or inadequate assessment on the part of one or more members of the panel involved in the decision such that the result should not be allowed to stand; or
  - 7.3 that there is new information about exceptional circumstances affecting your performance that the panel was not aware of when it took its decision and that this produced an unfair result.
8. There are no other reasons for making an appeal. Specifically, you cannot appeal because you want to question the academic judgement<sup>1</sup> of academic staff involved in making a decision or of individual examiners.

### Grounds for an appeal: examiners' decision on MPhil or PhD award

9. For an appeal against the examiners' decision about an MPhil or PhD award, you can make an appeal on any or all of the following grounds (reasons):
  - 9.1 that the examiners did not follow the correct examination procedure such that there is reasonable doubt that the decision would have been the same if the examiners had followed the correct procedure;
  - 9.2 that there is evidence of bias, prejudice or inadequate assessment on the part of one or both examiners such that the result of the examination should not be allowed to stand; or
  - 9.3 that your performance at the oral examination (viva) was affected by exceptional circumstances of which the examiners were not aware when they took their decision and that this produced an unfair result.
10. There are no other reasons for making an appeal. Specifically, you cannot appeal because you want to question the academic judgement<sup>2</sup> of academic staff involved in making a decision or of individual examiners.

### Submitting an appeal

11. If you want to make an appeal, you must do so within 20 working days of the School confirming the upgrade, de-registration or examination decision with you. To make an appeal you should complete the appeal form.
12. You must include all reasons (permitted under paragraphs 7 or 9) for appeal at this time. It is not permissible to introduce new reasons at a later stage of this procedure.
13. You must provide all the necessary evidence and information at the time you make the appeal. You cannot provide material later without our agreement.
14. Specifically, if you are appealing under reasons 7.3 or 9.3 above, you must provide:
  - 14.1 evidence of why you did not report the exceptional circumstances at the time; and
  - 14.2 evidence of any exceptional circumstances cited in your appeal.
15. All evidence must be in English and you are responsible for getting any official translations if necessary.

### Accepting or rejecting an appeal

16. When the PhD Academy Deputy Director receives your appeal, they will email you to confirm this.
17. The PhD Academy Deputy Director (or a member of staff with authority to act for them) will consider your appeal and the evidence you provide. They will also consider any relevant information from your academic record. The Deputy Director will decide, normally within 5 working days of receiving your appeal, either that:
  - 17.1 you do not have a valid reason for appeal (under paragraphs 7 or 9 above) and it should be dismissed (see paragraphs 18 to 22 below); or
  - 17.2 you do have a valid reason for appeal and it should be considered (see paragraphs 23 to 27 below).

### Procedure when there is no valid reason for appeal

18. If the PhD Academy Deputy Director finds that you do not have a valid reason, the Academic Registrar (or a member of staff with authority to act for them) will be asked whether or not the appeal should be dismissed.
19. The Academic Registrar (or nominee) will then, normally within 10 working days of receiving the recommendation from the PhD Academy Deputy Director, either:
  - 19.1 accept the recommendation and dismiss the appeal (see paragraphs 20 to 22); or
  - 19.2 reject the recommendation and ask the Deputy Director to progress your appeal to the next stage (see paragraphs 23 to 27 below).
20. The Academic Registrar (or nominee) will confirm their decision and the reasons for it, to the PhD Academy Deputy Director.
21. If they dismiss your appeal under paragraph 19.1, they will also consider whether there are any matters in it that should be referred to another LSE procedure (such as the **Student Complaint Procedure**).
22. The PhD Academy Deputy Director will confirm with you a decision taken under paragraph 19.1 in writing, with a copy of the response received under paragraph 20. They will do so normally within 5 working days of receiving the decision. If the Academic Registrar decides to dismiss your appeal, that decision is final. They will send you a Completion of Procedures letter to explain the decision and confirm that you cannot appeal further through our internal processes. If you are still dissatisfied, you can take your case to the **Office of the Independent Adjudicator for Higher Education**.

### Procedure when there is a valid reason for appeal

23. If your appeal is accepted under paragraphs 17.2 or 19.2 above the PhD Academy Deputy Director will send it and all supporting documents your head of department or a member of staff with authority to act for them.
24. The Head of Department or nominee will be asked to consider all the information presented and will either:
  - 24.1 uphold the original decision (see paragraphs 28 to 33 below); or
  - 24.2 make a new decision. This decision could be to either:
    - in the case of an appeal against an upgrade decision:*
      - (i) nullify the final upgrade attempt and allow you a new attempt; or
    - in the case of an appeal against a de-registration decision:*
      - (ii) amend the decision and allow you to re-register. This might be subject to specified conditions if you had previously failed to meet the academic requirements of the programme; or
    - in the case of an appeal against a decision on an MPhil or PhD award:*
      - (iii) allow you a further attempt at the viva examination either with the same or new examiners; and/or
      - (iv) refer the decision to the examiners to ask whether they wish to reconsider their decision on the original examination in light of the outcome of the appeal and in accordance with the outcomes prescribed in the **Regulations for Research Degrees**.
25. The Head of Department will normally reach a decision within 20 working days of receiving the appeal and will confirm this in writing, with the reasons for it, to the PhD Academy Deputy Director.

26. The Head of Department may consult with the examiners, members of the upgrade or progress review panel or other members of staff in the Department involved in making the original decision. They may also consult with members of LSE staff for advice on the procedure.
27. The PhD Academy Deputy Director will confirm with you a decision taken under paragraph 24 normally within 5 working days of receiving it. They will provide you with a copy of the written response submitted under paragraph 25.

#### **Procedure when the original decision is upheld**

28. If a Head of Department decides to uphold the original decision (under paragraph 24.1) the PhD Academy Deputy Director will give you an opportunity to submit a written response to it. This must be submitted to the PhD Academy Deputy Director within 15 working days of receiving the decision.
29. You are permitted to submit new evidence at this stage, but this must relate to the original reason(s) for appeal (permitted under paragraphs 7 or 9).
30. The PhD Academy Deputy Director will send all information received under this procedure to a member of the School's Research Degrees Subcommittee (RDSC) who will be asked to consider it and decide either that:
  - 30.1 there is no evidence to uphold your appeal and it should be dismissed (see paragraphs 34 to 47); or
  - 30.2 there is evidence to uphold your appeal. They will then decide either to:
 

*in the case of an appeal against an upgrade decision:*

    - (i) determine that the final upgrade attempt should be cancelled and a new upgrade event held. This might include a recommendation that a new upgrade panel with new members be convened; or *in the case of a de-registration decision:*
    - (ii) determine that the de-registration decision should be cancelled and ask the Department to conduct a new progress review. This might include a recommendation for a new panel with new members to be convened; or

*in the case of a MPhil or PhD examination decision:*

    - (iii) ask the examiners to reconsider their original decision. The examiners will normally be expected to conduct another oral examination before reaching a decision as to whether the result should be changed; or
    - (iv) determine that the original examination should be cancelled and a new examination, with new examiners is held. The new examiners will not be given any information about the previous examination or the appeal. The new examination will be conducted in accordance with the Regulations in force at the time you originally entered for the examination and will be an examination of the thesis you submitted at that time.
31. The RDSC Reviewer can seek the view of other members of the Subcommittee where necessary before reaching a decision. They can also seek clarification from you and/or your department/examiners concerning information submitted under this procedure.
32. The RDSC Reviewer will normally reach a decision within 20 working days of receiving the appeal and will confirm their decision in writing, with the reasons for it, to the PhD Academy Deputy Director.
33. The PhD Academy Deputy Director will confirm a decision taken under paragraph 30 normally within 5 working days of receiving it and provide you with a copy of the response submitted under paragraph 32.
34. The decision of the RDSC Reviewer is final. If they reach a decision under paragraph 30.1, the PhD Academy will send you a Completion of Procedures letter to explain the decision and confirm that you cannot appeal further through our internal processes. If you are still dissatisfied, you can take your case to the **Office of the Independent Adjudicator for Higher Education**.

#### **Footnotes**

- <sup>1</sup> Academic judgement is the professional and scholarly knowledge and expertise which members of upgrade and review panels (in academic departments) and individual examiners draw upon in reaching an academic decision about your work (Higher Education Act, 2004).
- <sup>2</sup> Academic judgement is the professional and scholarly knowledge and expertise which members of upgrade and review

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

## PHD PROGRESS REMEDIATION AND WITHDRAWAL POLICY

This policy should be read in conjunction with the Conditions of Registration and General Academic Regulations applicable to all Degree Students at LSE.

This policy does not apply to cases that involve allegations of misconduct that are dealt with under the School's Disciplinary Procedure for Students.

Reference to 'departments' in this document includes Centres, Institutes and Groups.

### 1. General information

- 1.1 The remediation and withdrawal processes for a PhD or MPhil candidature may be initiated by the research student, the Supervisory Team, the Doctoral Programme Director, the Research Degrees Subcommittee or the PhD Academy.
- 1.2 At any stage in the process, the research student can seek advice from their Supervisory Team (first supervisor, second supervisor etc.), Departmental PhD Administrator, Doctoral Programme Director, the PhD Academy or the LSE Students' Union.
- 1.3 The Supervisory Team may initiate the remediation process where there are serious concerns about the academic progress of the student. The Supervisory Team should consult with the Doctoral Programme Director prior to initiating the remediation policy.
- 1.4 Withdrawal of a research student by the Supervisory Team requires the approval of the relevant Doctoral Programme Director and the Chair of the Research Degrees Subcommittee.
- 1.5 The LSE PhD Academy may initiate the withdrawal of a student in cases where there is a failure to pay fees or meet attendance and enrolment requirements as laid out by the School.
- 1.6 Withdrawal of a research student by the PhD Academy requires the approval of the Chair of the Research Degrees Subcommittee.
- 1.7 Students who are withdrawn from the PhD programme will be notified of their right to appeal against the decision (please refer to the Appeals Regulations for Research Students).

### 2. Notification of withdrawal by the student

- 2.1 Students who are experiencing difficulties with their PhD programme are advised to talk to their Supervisory Team (first supervisor, second supervisor etc.), Doctoral Programme Director and other available support services. The first aim of this policy is to explore whether it is possible to find a solution to the issues which may enable the student to continue with the PhD programme or pursue completion of research for MPhil examination.
- 2.2 Once the student has decided that withdrawal is the right option, they must complete a Withdrawal Form and submit this to the PhD Academy.
- 2.3 Once the Withdrawal Form has been completed and submitted this will be processed by the PhD Academy.

### 3. Notification of withdrawal by the supervisory team

- 3.1 Students can be withdrawn at the stage of consideration for upgrade to PhD enrolment if their progress or research plans are not considered satisfactory to meet the academic, ethical and regulatory requirements of the PhD programme.
- 3.2 Withdrawal may also be initiated following completion of the annual Progress Review where progression to the next academic session is not approved.
- 3.3 In addition to withdrawal at the upgrade stage or following completion of the annual Progress Review, the Supervisory Team can recommend that a student be withdrawn at any point in their registration if there are serious concerns about a student's academic progress or a failure to meet requirements stipulated by the Department or the Supervisory Team. In this case, the Supervisory Team, in consultation with the Doctoral Programme Director, must note the following:

a) There are three stages to the remediation and withdrawal process:

**Stage 1:** First warning from the Supervisory Team

**Stage 2:** Second warning from the Supervisory Team

**Stage 3:** Final Warning - Meeting with the Director or Deputy Director of the PhD Academy.

b) **Stage 1 – First warning:** If there are serious concerns about a student's academic progress this should be raised with the student at the earliest opportunity in a meeting with the Supervisory Team. The reasons for the Supervisory Team's concerns must be made clear at the meeting and provided in writing after the meeting (with a copy to the Departmental PhD Administrator, the Doctoral Programme Director and the PhD Academy).

A plan for remediation must be agreed between the student and the Supervisory Team in order for the student to address the concerns. The action plan must have an agreed timeframe, the minimum period of which is one month. The action plan must be documented in writing and a copy provided to the

student, the Departmental PhD Administrator and the Doctoral Programme Director. The student will have the right of appeal against the decision.

The student must be provided with a copy of the remediation and withdrawal policy.

- c) **Stage 2 – Second warning:** If the concerns about unsatisfactory academic progression have not been addressed satisfactorily within the agreed timeframe, the Supervisory Team can issue a second warning, a revised remediation plan and a timeframe for compliance, the minimum period for which is two weeks.
- d) **Stage 3 – Final Warning - meeting with the Deputy Director of the PhD Academy.** If the issues are still not resolved by the next review meeting, the Supervisory Team must meet with the Deputy Director of the PhD Academy to initiate Stage 3 of the process. The student will be called to a meeting with the Deputy Director of the PhD Academy who will inform the student that if there is no resolution by the next Supervisory review meeting then formal withdrawal procedures will be instigated.  
The PhD Academy will inform the Supervisory Team, the Departmental PhD Administrator, the Doctoral Programme Director and the Deputy Director of the PhD Academy of the outcome of this meeting and the PhD Academy will confirm the outcome in writing to the student.
- e) If there is no further improvement in the student's academic progress by the next Supervisory review date, then the Supervisory Team will advise the PhD Academy of this. The PhD Academy will consult with the Supervisory Team and the Doctoral Programme Director prior to informing the student of the de-registration from the degree programme.

#### **4. Notification of withdrawal by the PhD Academy**

- 4.1 The PhD Academy or relevant Professional Services Section will advise the student of enrolment and regulatory requirements (eg attendance and engagement) and a deadline for resolution of any issues. The relevant Professional Services Sections include the PhD Academy, The Registry and the Financial Support Office.
- 4.2 Failure to meet enrolment or regulatory requirements will result in the issue being referred to the Deputy Director of the PhD Academy. The Deputy Director will contact the student with instructions on the requirements and the deadline for resolution. The Deputy Director will also advise of the procedures to be followed if requirements are not met.
- 4.3 Failure to complete resolution by the deadline will result in the Deputy Director initiating Withdrawal Procedures.



## STATEMENT ON EDITORIAL HELP FOR STUDENTS' WRITTEN WORK

### Guidance for students, supervisors and examiners

*This statement was approved by the Academic Board, July 2012*

- Any written work a student produces (for classes, seminars, examination scripts, dissertations, essays, computer programmes and MPhil/PhD theses) must be solely their own work<sup>1</sup>. Specifically, a student must not employ a "ghost writer" to write parts or all of the work, whether in draft or as a final version, on their behalf<sup>2</sup>.
  - This guidance is for use when a student is considering whether to employ a third party such as a professional copy editing or proof reading company when producing work in draft or final version.
  - It also applies when a student seeks editorial help from other, non-professional third parties, such as fellow-students or friends.
  - It is not concerned with the regular and iterative interaction between student and tutor/supervisor(s) on draft versions of their work throughout the registration period. The student's tutor/supervisor is not regarded as a "third party" for this purpose.
  - For research students, further guidance is included in the Supervisor's Handbook produced by the Teaching and Learning Centre.
  - If a student contravenes this statement, this will be considered an assessment offence and investigated in accordance with the **Regulations on assessment offences**.
1. If the student chooses to employ a third party, it is their responsibility to give them a copy of this statement. When submitting work the student must acknowledge what form of contribution they have made, by stating for example, 'this thesis/essay/dissertation was copy edited for conventions of language, spelling and grammar by ABC Editing Ltd'.
  2. A third party **cannot be used**:
    - 2.1 to change the text of the work so as to clarify and/or develop the ideas and arguments;
    - 2.2 to reduce the length of the work so that it falls within the specified word limit;
    - 2.3 to provide help with referencing;
    - 2.4 to correct information within the work;
    - 2.5 to change the ideas and arguments put forward within the work; and/or
    - 2.6 to translate the work into English.
  3. A third party **can be used** to offer advice on:
    - 3.1 spelling and punctuation;
    - 3.2 formatting and sorting footnotes and endnotes for consistency and order;
    - 3.3 ensuring the work follows the conventions of grammar and syntax in written English;
    - 3.4 shortening long sentences and editing long paragraphs;
    - 3.5 changing passives and impersonal usages into actives;
    - 3.6 improving the position of tables and illustrations and the clarity, grammar, spelling and punctuation of any text in or under tables and illustrations; and
    - 3.7 ensuring consistency of page numbers, headers and footers.
  4. The third party shall give advice by means of tracked changes on an electronic copy or handwritten annotations on a paper copy or other similar devices. The student must take responsibility for choosing what advice to accept, and must him/herself make the changes to the master copy of the work.

### Footnotes

- <sup>1</sup> Except where the School's regulations might permit it to include the work of others e.g., Regulations for Research Degrees (paragraph 31.1) permit a thesis to include the work of others and individual programme regulations for taught students permit group work.
- <sup>2</sup> This does not preclude the use of a 'scribe' where verbatim dictation might be required for a student with a particular disability.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.



# FITNESS TO STUDY POLICY

## A guide to the process and procedure for undergraduate, postgraduate and research students.

Version: July 2022

### 1. Introduction

- 1.1 London School of Economics and Political Science recognises the importance of our students' health and wellbeing in relation to their academic performance, progression and wider student experience. The phrase 'fitness to study' refers to a student's capacity to fully engage with university life, both academically and otherwise, without unreasonable detriment to their wellbeing and whilst maintaining appropriate standards of behaviour. With this in mind, this policy sets out a framework of support to study that is necessary to ensure fairness in terms of fitness to study for all students, and to ensure the School applies due process when considering and determining students' fitness to study. This is not a disciplinary process and should be seen fundamentally as a way of staff supporting students to ensure that they can wherever possible continue to study with appropriate levels of support in place to ensure their continued wellbeing.
- 1.2 The School understands that on occasion medical, psychological, behavioural or emotional problems, or other adverse circumstances, may affect students' fitness to study. This policy aims to ensure a consistent approach is taken by the School in supporting students whose mental and/or physical wellbeing is of a concern to staff and/or students, such that interventions need to be put in place to support them.
- 1.3 In this context, "Fitness to Study" relates to a student's fitness to continue with their current programme of study or return to their current programme (or another programme) and a student's ability to meet the reasonable academic requirements of their programme and the reasonable social and behavioural requirements of the School without having an unacceptably detrimental impact on the health, safety, welfare and/or educational experience of the student, other students, members of staff or members of the wider community.
- 1.4 The School's aim, where possible, is to support our students to remain on their programme of study. However, it must be recognised that in some cases this might not be possible. Some students may need to take a break from their studies (**interrupt**), may need to delay taking their assessments (**defer**), or in more serious cases, may need to leave the School completely (**withdraw**).
- 1.5 All students registered at the School are covered by this policy. It is applicable in the main to any activity the student engages in as any part of their studies, including lectures, classes, seminars, workshops and exams. For research students, this also includes engaging with supervision and conducting their research. However, it also includes any activity in LSE Halls of Residence, on field trips or any other activities that may take place off campus that are related to the programme of study; or indeed may include any activity that gives justifiable cause for concern with regard to a student's fitness to study. The policy also encapsulates the School's "fit to sit" statement with regard to assessment; that is, that students are deemed to be fit to either take their exams (by stepping into the exam room) or attempt other assessments (by submitting the work) and not seeking a deferral.
- 1.6 This policy has links to other School policies. Depending on the situation this may include:
  - **Cause for Concern**
  - **Conditions of Registration**
  - **Ethics Code**
  - **Examination Procedures for Candidates**
  - **Disciplinary Procedure for Students**
  - **Health and Safety Policy**
  - **LSE Residences Regulations & Student Halls Handbook**
  - **PhD Remediation and Withdrawal Policy**
  - **Safeguarding Policy**
  - **Student Drugs and Alcohol Policy**
- 1.7 Nothing in this procedure should distract from any dangerous or acute situations where a member of staff believes that a student's behaviour presents an immediate risk to themselves or others. In such circumstances the emergency services should be contacted by telephoning 999 and security staff should also be informed to aid directing the emergency services to the correct location.

### 2. Equity, Diversity and Inclusion

- 2.1 The School will take into account relevant legislation; for example, the Equality Act 2010, the Mental Health Act 2007, the Mental Capacity Act 2005, the Human Rights Act 1998, UK General Data Protection Regulation and the Data Protection Act 2018 when making decisions under this procedure.
- 2.2 The Equality Act 2010 covers the protected characteristics of age, disability, gender reassignment, marriage

and civil partnership, pregnancy and maternity, race religion or belief (including lack thereof), sex and sexual orientation. Within the Act it remains permissible to treat a disabled person more favourably than a non-disabled person and it remains lawful to make reasonable adjustments in relation to employment, education and services to ensure that there is equality of opportunity for disabled people.

- 2.3 In extreme cases, where the School believes that the student is danger of coming to harm, it may consider notifying a student's next of kin and/or statutory services regarding concerns raised under these procedures; but will consider the general rights and expectations of confidentiality, along with the Acts listed in 2.1, before doing so.
- 2.4 The School acknowledges that as a result of implementing this policy it will receive personal sensitive data and data of a confidential nature in respect of the student and other third parties. The School will ensure that all such data is handled, processed and stored in accordance with the requirements set out in the Data Protection Act 2018 and the General Data Protection Regulations (GDPR).

### 3. Procedure for Considering Fitness to Study

- 3.1 The School recognises that concerns about a student's wellbeing may be raised by a variety of individuals, including, but not limited to, staff, other students, health professionals or family members, as well as the particular student concerned at any point during a student's studies.
- 3.2 This procedure seeks to promote early intervention and active collaboration between students, staff and third parties, where applicable, to ensure a consistency of approach. Matters will be dealt with sensitively and in a coordinated manner across the School.
- 3.3 Examples of circumstances that may trigger this procedure are:
  - The student has told a member of staff that they have a problem and/or provided information, either directly or as part of another School procedure, which raise concern with regard to their fitness to study;
  - The student's manner indicates that they may have a medical condition which is having an adverse impact on their health;
  - Elongated periods of absence from a student's programme of study because of illness;
  - The student's academic performance or their behaviour gives cause for concern and this is thought by the person raising the concern to be because of an underlying medical condition;
  - A member staff, a student or a third party (e.g. relative, guardian, medical professional, friend, fellow student or member of the public) reports concerns about the student that raise questions about their fitness to study.
- 3.4 This Policy has three stages: initial or emerging concerns, continuing or moderate concerns, and severe and/or enduring concerns. The stages identify the level of difficulty the student may face, as well as the risk or disruption, the responsibilities of the student and the type of intervention required by the School. In an event where a student is unable or unwilling to participate in these associated processes, the School will continue with the process where it is deemed necessary to do so, particularly if there is risk involved to the student, other students or staff. If the situation merits it, the School may start with Stage 3 without the need to undertake Stages 1 and 2 and likewise Stage 2, without need to undertake Stage 1.
- 3.5 To initiate consideration under this procedure, a written report should be made by the person raising the concern(s) to the Departmental Tutor<sup>1</sup>, or their nominee, who will decide if the concern(s) should be considered under this procedure and if they are, at what stage the consideration should commence. The Departmental Tutor, having taken advice from the Student Wellbeing Service, will also consider the student's immediate support needs and any action that needs to take place as a matter of urgency.

### 4. Stage 1: Initial or Emerging Concerns

- 4.1 These are usually low-level risks that do not require immediate or specialist support. A concern of this nature would normally require the student to meet with their Academic Mentor<sup>2</sup> and a member of the Student Advice & Engagement Team in Student Services for an informal review. The student will be notified that the meeting is being called under Stage 1 of this Policy. Possible outcomes from this may include one or more of the following:
  - No further action;
  - Ensuring the student is aware of the support services available within the School;
  - Ensuring the student is aware of relevant School processes, including deferral and exceptional circumstances;
  - Agreeing an Inclusion Plan or similar support;
  - Agreeing a short period of time off, in liaison with the student's department, of usually no more than three weeks. In the case of students holding a Tier 4 visa, the Deputy Head of the Student Advice & Engagement Team should be consulted regarding the length of any agreed absence and the student should be urged to consult with staff in the Student Advice & Engagement Team for further advice on the consequences for their visa and their right to remain in the UK;

- Asking the student to moderate their behaviour and/or address any concerns that have been raised, which may include seeking further internal or external support.
- 4.2 If the student responds in a constructive way, no further action would be required at that time. If the student is unable to engage with the process due to extenuating circumstances, fails to respond constructively or refuses to engage with the process, escalation to Stage Two may be required.
- 4.3 Any actions agreed by the Academic Mentor<sup>3</sup> and the Student Advice & Engagement Team staff member will be confirmed in writing to the student following the meeting, normally within five working days, but sooner if possible.

## 5. Stage 2: Continuing and/or Moderate Concerns

- 5.1 These are concerns that require appropriate and timely intervention from one or more internal support services within the School, or external support services such as a medical practitioner. A concern of this nature would require the student to meet with a Panel for a formal review. The Panel will comprise of:
  - Departmental Tutor (UG)/Programme Director (PGT)<sup>4</sup>, or nominee, who will Chair the meeting
  - Academic Mentor (lead PhD Supervisor for research students)
  - Head/Deputy Head of the Student Advice & Engagement Team<sup>5</sup>
  - Student Wellbeing Service representative
  - Warden/School Representative (where the student lives in an LSE Hall of Residence)
- 5.2 The student should be made aware of the circumstances/behaviour that has led to their fitness to study being raised as an issue and, if appropriate, the risks perceived by the School. The student's views should be heard and considered and there should be the opportunity to explore with the student any explanations for the behaviour that has caused concern about their fitness to study. The student may if they wish bring a friend or family member to the meeting for support and also a member of the Students' Union Advice Team. The meeting may go ahead in the absence of the student at the discretion of the Chair.
- 5.3 Possible outcomes from the meeting may include:
  - No further action;
  - A review of the initial meeting that took place, as well as the agreed actions following it, to determine what happened or needs to happen;
  - Putting in place reasonable adjustments, by way of an Inclusion Plan or **Individual Exam Adjustments**, to support the student's academic progress;
  - Putting in place support mechanisms to aid the student's wellbeing. This may include regular appointments with the Student Wellbeing Service, LSE LIFE student advisors, external agencies or some combination of these;
  - Recommendation that the student defers their assessment;
  - Recommendation that the student takes an interruption of studies. Any such recommendation will take due regard of the potential impact on Tier 4 visa holders and the Panel will, if necessary, take further advice on this prior to confirming the recommendation;
  - Recommendation that the case is referred to the next level of the procedure.
- 5.4 A review period will be set in the discussion, and follow-up email, to monitor the situation.
- 5.5 Actions agreed by the panel will be confirmed in writing to the student following the meeting, normally within five working days, but sooner if possible.
- 5.6 If the student does not accept the recommendations, they should put their reason(s) in writing to their Departmental Tutor, or nominee, within five working days of receiving the recommendations. The Departmental Tutor will then decide as soon as practicable if the recommendations should be amended or if the matter should be referred to Stage 3 of the process.

## 6. Stage 3: Severe and/or Enduring Concerns

- 6.1 These are concerns that may need an immediate or emergency intervention. A concern of this nature would require the student to meet with the Fitness to Study Panel for a formal review. Minutes of the meeting will be kept.<sup>6</sup>
- 6.2 The Fitness to Study Panel will comprise:
  - Deputy Head of Student Services (Advice & Policy), who will act as Chair
  - Representative from the student's Academic Department who has had no previous involvement in the case<sup>7</sup>
  - Deputy Head of Student Services (Wellbeing)<sup>8</sup>
  - An LSE Students' Union sabbatical officer
  - Head of Residential Life (where the student lives in an LSE Hall of Residence)
- 6.3 The student will normally be given at least five working days' notice of the meeting. The student will be

provided with any documents that may be considered by the Panel. The student may submit additional documentation to the Panel, no later than two working days before the meeting. The Panel can invite others to attend in order to provide information or witness proceedings. The student may if they wish bring a friend or family member to the meeting for support and also a member of the Students' Union Advice Team. A third party, chosen by the student, will be permitted to submit a supporting statement or evidence on their behalf.

- 6.4 The student should be made aware or reminded of the circumstances/behaviour that has led to fitness to study being raised and, if appropriate, the risks perceived by the School. The student's views should be heard and considered and there should be the opportunity to explore with the student any explanations for the behaviour that has caused concern about their fitness to study. The meeting may go ahead in the absence of the student at the discretion of the Chair.
- 6.5 The Panel, without the student being present, will endeavour to reach a unanimous decision regarding the appropriate action to take; however, if this proves not to be possible it will reach a majority decision with the Chair having a casting vote if required. Any decision will take due regard of the potential impact on Tier 4 visa holders and the Panel will, if necessary, take further advice on this prior to confirming the recommendation
- 6.6 The student should have the options discussed with them by an appropriate member of the Panel if and when they are fit to make informed decisions. Where the Panel is convinced that the health, safety or wellbeing of the student, or others, is at significant risk, the School may enforce an outcome. Possible outcomes may include:
  - That exceptional circumstances are submitted, directly by the student or, exceptionally on occasion, on their behalf;
  - That the student defers their assessments;
  - A move to part-time study where permitted;
  - An interruption of studies, agreed by the student or exceptionally enforced by the School;
  - That the student withdraws from their studies, agreed by the student or enforced by the School.
- 6.7 Actions agreed by the Panel will be confirmed in writing to the student following the meeting normally within five working days. If the student disagrees with the recommendation(s), they have the option of appealing the decision as per Section 9 below.
- 6.8 If needed, a review period will be set in the discussion, and follow-up email, to monitor the situation.

## **7. Temporary Precautionary Suspension**

- 7.1 Where serious and/or urgent concerns about a student's fitness to study have been raised in accordance with this procedure, a Pro Director (or their nominee) may temporarily suspend a student if they consider:
  - The student poses a serious risk to their own health, safety or wellbeing or to that of other students or staff, and/or;
  - There is a risk to School property.
- 7.2 The student will be notified within two working days of any decision to suspend by email and by letter to the addresses registered with the School. In such cases, Key School staff will be notified of the suspension, including Security and, where a student holds a Tier 4 visa, the Deputy Head of the Student Advice & Engagement Team. If the student lives in an LSE affiliated Hall of Residence, the Residential Life team will also be informed and they, in conjunction with other staff as appropriate, will make a decision as to whether the temporary suspension should also apply to the Hall of Residence.
- 7.3 Any suspension under these procedures is precautionary and does not mean that any final conclusions have been drawn, or that a decision has been reached, regarding the student's fitness to study. Any decision to suspend will take due regard of the potential impact on Tier 4 visa holders and the decision maker will, if necessary, take further advice on this prior to confirming the suspension.
- 7.4 The suspension will be reviewed on a regular basis, usually every two weeks during term-time, by the Head of Student Services, in conjunction with the student's Department<sup>9</sup>, to determine whether it is reasonable in all the circumstances for it to continue, be revoked or be amended in some way; for example, the imposition of conditions, in order to minimise its impact upon the student and their studies.
- 7.5 A student who is suspended may ask the Head of Student Services for temporary permission to attend the School; for example, to attend a counselling session or an exam. Such permission must be request in advance and in writing. In considering requests for temporary permission to attend the School, the Head of Student Services may consult with those affected by the decision and will make appropriate arrangements to facilitate this.
- 7.6 A student who is suspended may ask the Head of Student Services to review the suspension: for example, on the basis of new medical evidence. Any such request must be made in writing and normally not made more frequently than once a month unless there is a sudden evidenced improvement in the student's circumstances.

## 8. Case Conference

- 8.1 At any stage of the process, a case conference can be called by the Deputy Head of Student Services (Wellbeing) after consulting with relevant staff. However, this will normally only be in exceptional cases; for instance, where the student's health is such that they cannot engage with the process and will not be able to do so for the foreseeable future. The case conference may comprise of any individuals who have been involved in the case thus far, or who may need to be involved by the Deputy Head of Student Services (Wellbeing) to ensure as complete a picture of the situation as possible is available. Depending upon the nature of the student's circumstances, they may be invited to make a written submission, which may include independent evidence, for consideration. Minutes of these meetings will be taken.
- 8.2 Although a student may be invited to the case conference, it is not expected that this would usually be the case – see 8.1 above. A case conference may be held prior to and/or following any meeting with the student.
- 8.3 The case conference will determine whether the student's fitness to study is impaired and any actions to be taken. Such actions may include, but are not limited to, the following:
  - Reasonable adjustments being put in place for the student to engage with teaching and undertake assessments;
  - An action plan, setting out how the matter will be managed and any requirements to be placed on the student, along with details of relevant support services. A copy of this plan will be provided to the student;
  - Referral to any stage of the Fitness to Study procedure;
  - That exceptional circumstances are submitted, directly by the student or, exceptionally on occasion, on their behalf;
  - That the student defers their assessments;
  - An interruption of studies, agreed by the student or enforced by the School;
- 8.4 The proceedings and determinations of the case conference will be recorded and circulated to all in attendance, made available to the student and kept on record by the Student Wellbeing Service.

## 9. Appealing a decision

- 9.1 Students reserve the right to appeal any decision made. This will be conducted via the Fitness to Study Appeal Panel. The grounds on which an appeal can be made are:
  - 9.11 A significant procedural flaw or irregularity that compromised the fairness of the process, and/or:
  - 9.12 New material evidence, which must be supported by an explanation of why it is being submitted at this late stage, and/or:
  - 9.13 An outcome being unreasonable or disproportionate.
- 9.2 A student who wishes to appeal against the final decision must put this in writing to the Fitness to Study Appeal Panel, stating their ground(s) of appeal, within ten working days of the decision being communicated to them. They must detail the nature of their appeal and submit any applicable corroborating evidence. The Appeal Panel will acknowledge the appeal within seven working days. The Appeal will be considered based on the written papers unless it would assist the Panel's consideration or otherwise be in the interest of fairness to invite the student to attend an appeal meeting. A third party, chosen by the student, will be permitted to submit a supporting statement or evidence on their behalf.
- 9.3 The Appeal Panel will comprise of:
  - Head of Department
  - Head of Student Services
  - Director of Residential Services (where the student lives in an LSE Hall of Residence)
- 9.4 After considering the appeal, the Appeal Panel may:
  - Affirm, set aside or vary any decision reached;
  - Refer the matter, or any part of it, back to the Stage 3 Panel for further consideration;
  - Dismiss the appeal for any of the following reasons:
    - It is received after the deadline without a reasonable explanation why it could not be submitted on time;
    - It does not clearly state the grounds on which the appeal is being made;
    - It does not disclose any reasonable grounds for appealing the decision;
    - It is entirely without merit;
    - It is vexatious or repetitious.
- 9.5 The decision agreed by the Appeal Panel will be confirmed in writing to the student following the meeting normally within five working days.
- 9.6 The decision of the Appeal Panel is final, and a Completion of Procedures letter will be issued

## 10. Returning to Study

- 10.1 The School will only permit a student to return to study if it is satisfied that the student is fit to study. For example, if, after receiving medical advice, the School is satisfied that the student is fit to study and able to comply with any conditions imposed on their return.
- 10.2 The Head of Student Services will determine whether to permit the student to return to study. In reaching their decision, they may consult with relevant School staff, including staff previously involved in the process, the student's Department<sup>10</sup>, and/or external professionals.
- 10.3 The student should provide, or the Head of Student Services may request, independent confirmation of the student's ability to resume their studies. The Head of Student Services, in consultation with staff from the Student Wellbeing Service, may set questions/requirements which form the basis of the evidence required; for example, the student's ability to manage the demands of studying, their engagement with any treatment, previous and potential future, triggers for relapse or causes for concern etc.
- 10.4 Conditions may be imposed on the return to study (for example, the student's conduct, any support they must seek, ongoing engagement with treatment, or academic progress). The Deputy Head of Student Services (Wellbeing), together with the Head of Student Services, will consider any support or reasonable adjustments that should be put in place for the student.
- 10.5 The decision of the Head of Student Services will be communicated to the student in writing, with reasons. This will normally be within five working days of a request to return. The student will be notified as to what would be required for their return to study to be reconsidered and the date of the next point at which they could, potentially, return to their studies.
- 10.6 When a student does return, there must be regular review meetings organised for the student to attend upon their return. These will be managed and conducted by the Student Wellbeing Service. The School recommends no less than two meetings per term and these should continue until the School is satisfied of the student's long-term fitness to study. The School will work with the student to ensure that, if appropriate, a suitable inclusion plan is agreed and implemented. Failure to comply with any conditions may give rise to further concerns regarding a student's fitness to study and may lead to further consideration/action under these procedures.
- 10.7 If a student is unable to return or prevented from doing so by the School, a further interruption may be agreed. No more than two interruptions will be permitted per programme of study for taught graduate students and no more than three interruptions will be permitted per programme of study for undergraduate students. Interruptions for research students will only be permitted in accordance with the regulations for Research Degrees.

### Footnotes

- <sup>1</sup> For research students this will be the Doctoral Programme Director and for General Course, Sciences Po/Erasmus and Berkeley Exchange students, this will be the Dean of the General Course
- <sup>2</sup> For research students this will be the lead PhD Supervisor. For General Course, Sciences Po/Erasmus and Berkeley exchange students, the Dean of the General Course may replace or the Academic Mentor or attend the meeting as well.
- <sup>3</sup> For research students this will be the lead PhD Supervisor. For General Course, Sciences Po/Erasmus and Berkeley exchange students, the Dean of the General Course may replace or the Academic Mentor or attend the meeting as well.
- <sup>4</sup> For research students this would be the Doctoral Programme Director and for General Course, Sciences Po/Erasmus and Berkeley Exchange students, this will be the Dean of the General Course
- <sup>5</sup> For research students, a senior staff member from the PhD Academy will be asked to attend.
- <sup>6</sup> A departmental professional support staff member may attend meetings of the Panel in order to act as secretary but will not be a member.
- <sup>7</sup> For General Course, Sciences Po/Erasmus and Berkeley exchange students, this may be the Dean of the General Course; however, if they have been involved in earlier decisions as part of this process they will only act in an advisory capacity and will recuse themselves from any decision at this stage.
- <sup>8</sup> For research students, a senior staff member from the PhD Academy will be asked to attend.
- <sup>9</sup> For General Course, Sciences Po/Erasmus and Berkeley exchange students, this would be the Dean of the General Course.
- <sup>10</sup> For General Course, Sciences Po/Erasmus and Berkeley exchange students, this would be the Dean of the General Course



# INTERRUPTION OF STUDIES POLICY

A guide to the process and procedure for undergraduate, taught postgraduate and executive masters students

## 1. Introduction

- 1.1. The School is committed to supporting you if you require temporary time away from your studies, where this will assist you in gaining the best possible outcome in your studies or support your career aspirations.
- 1.2. An Interruption of Study (hereafter referred to as an Interruption) allows you to take an authorised formal break in your studies for one year. Following the interruption period, you will return to your studies at the beginning of the respective term or teaching block. For example, an interruption at any point in the Lent term will require you to return at the beginning of the Lent term the following year. If you are an executive masters student, you should discuss an appropriate point of return with your Academic Mentor or relevant member of department staff.
- 1.3. Authorised Interruptions need to be formally approved by the School.

## 2. Reasons for Interruption

- 2.1. There are two main types of interruption request:
  - 2.1.1. If you find that, due to ill health or circumstances out of your control, you need to temporarily interrupt your studies;
  - 2.1.2. If you wish to interrupt your studies due to a temporary opportunity you wish to pursue before returning to your studies.

Common reasons for an Interruption include, but are not limited to:

  - Health reasons (mental or physical health problems);
  - Maternity/Paternity/Adoption/Family Leave;
  - Extra-curricular pursuits e.g. elite sport/art/music related opportunities;
  - Employment opportunities/internships/volunteering;
  - Work related issues (for executive masters students);
  - Unforeseen changes in financial circumstances;
  - Military Service;
  - Other specific personal reasons.
- 2.2. If you are experiencing health or personal problems that are causing you to miss classes, then requesting an Interruption at the earliest opportunity is sometimes the best option. This enables you to take a break and return the following year to properly benefit from teaching. If you delay a formal Interruption request, this may also have financial consequences (see Section 3).
- 2.3. If you are considering an Interruption in the middle of a term, you must discuss with your Academic Mentor or relevant members of departmental staff whether it would be beneficial to continue to the end of that term or to interrupt immediately. If you are an executive masters student, you should discuss an appropriate time to interrupt with your Academic Mentor or relevant member of department staff. For further guidance on who to speak to in your department, please contact the departmental administration team.
- 2.4. Interruptions will not be applied retrospectively. If you request an Interruption during a term, and it is approved, it will be applied from the start of the term in which you applied. Appropriate arrangements will be made for executive masters students on modular programmes. Any Interruption will not exceed 12 months, unless authorised by the School due to exceptional circumstances.

## 3. Matters to consider

- 3.1. The academic implications of an Interruption are the primary consideration before a request is approved by the School.
- 3.2. If you require a visa to study in the UK, you should be aware that taking an Interruption may have implications on your current immigration permission. The International Student Visa Advice Team (ISVAT) provides advice and guidance to students in relation to any visa implications which may arise as a consequence of taking an Interruption. Further information is available [here](#).
- 3.3. You should also be aware that taking an Interruption may have financial implications. For example, during a period of interruption you will not normally receive any maintenance grant or loans. For further information and advice about this, please see [here](#).
- 3.4. While you are not liable for paying tuition fees during your Interruption, you will be charged tuition fees up to the end of the term/teaching block preceding your Interruption. For example, if you are granted a Lent Term Interruption, tuition fees will be charged up until the end of Michaelmas Term.
- 3.5. If you receive a bursary or scholarship, please contact the provider to discuss the implications of your Interruption.

- 3.6. If you live in a Halls of Residence, you should also discuss your intention to interrupt with the **Residential Services Office**, as an Interruption will have implications upon your right to continue living in the Hall.

### 4. Requesting an Interruption

- 4.1. Before formally requesting an Interruption, you should where practicable meet with your Academic Mentor (or relevant member of Departmental staff), discuss your proposed Interruption, and where possible<sup>1</sup> agree a return to study plan. The return to study plan will detail your courses when you resume your Programme and may also identify the support services that you should consult with for advice and support upon your return to study.
- 4.2. Once you have discussed and agreed the Interruption arrangements in principle, you should formally apply using the online Interruption of Study **form**.

### 5. Evidence

- 5.1. You may be required to submit evidence to support your application for an Interruption. When you meet with your Academic Mentor (or relevant members of Departmental staff) they will advise you further about the evidence you need to submit. In certain circumstances, independent medical evidence from appropriately qualified professionals may be required in support of your formal application.

### 6. Confidentiality

- 6.1. All requests will be treated as confidential and information will only be shared with individuals who have a legitimate reason for being informed.

### 7. Consideration and Approval

- 7.1. Where possible, the School will take a permissive approach when considering applications for an Interruption. The School will normally approve your application if you have provided a good reason for the interruption and if:
- Your approach to your studies has been satisfactory and of a standard that would support a temporary break;
  - An Interruption will be compatible with you subsequently completing your studies;
  - It would not entail you exceeding the maximum period of registration for your programme, as per the General Academic Regulations for all Students.
- 7.2. A second period of interruption within the same programme of study will only be approved in exceptional circumstances.
- 7.3. Once you have submitted the form, your Academic Mentor and other relevant Departmental staff will confirm to the Student Services Centre (SSC) whether or not an interruption has been approved. The SSC will inform you of the decision, normally within five working days of the form's submission.

### 8. Student Status/Rights and Responsibilities

- 8.1. During an Interruption, you are still a student of the School. You have the right to access relevant campus facilities, e-mail and student support services including the Students' Union, limited Library Services, Student Wellbeing Services and the Faith Centre. However, you will be an unregistered student, and will not be eligible for teaching or financial support. As such, you must not undertake studies at the School and you should not attend lectures, seminars, tutorials etc.
- 8.2. You will not be expected to sit/submit any assessments during an Interruption.
- 8.3. Your Department will ensure that during your Interruption, a point of contact is available to advise you about your return to study and any other student related concerns that you may have. This will usually be your Academic Mentor, Programme Director or Programme Manager.
- 8.4. You remain subject to all the School's Regulations, Procedures and Policies during your Interruption.

### 9. Return to Study

- 9.1. If you wish to return to your studies earlier than originally planned, you should discuss this first with your departmental point of contact and if you decide to proceed, submit a request to the Student Services Centre for consideration. Requests will be considered on a case-by-case basis.
- 9.2. The School will contact you by email before your scheduled return to study in order to confirm your course selection (if applicable) and to facilitate any support which may be required upon your return. It is essential that you check your LSE email regularly, even during Interruption, as you will continue to receive important information from the School. If you require a visa in order to study in the UK, you should contact ISVAT at least 3 months prior to your agreed return to study date.
- 9.3. The School has a responsibility to ensure that you are able to engage safely with your studies following a period of interruption. If you have interrupted your studies for medical reasons, the School may require satisfactory evidence confirming your fitness to return to study. The School will advise on whether evidence will be required in a particular case.



- 9.4. If you are unable to return to study after an Interruption, you may in exceptional circumstances request an additional Interruption, provided that this will not entail you exceeding the maximum period of registration for your Programme. Requests will be considered in line with normal approval processes. If you do not intend to return and/or a further Interruption is not approved, you should speak to the Student Services Centre about formally withdrawing from your programme
- 9.5. When you return to your studies, you will be charged fees in line with Section 9 of the School's **Tuition Fee Policy**.

## **10. Changes to Programmes and/or Courses**

- 10.1. If you are on an Interruption, you should be aware that programmes and courses may be subject to change during your period of interruption. When you return, there may be changes to the structure or availability of programmes. By Interrupting, you consent to any programme or course changes which may occur while you are on interruption
- 10.2. You should be aware that in exceptional circumstances; for example, if your Programme is to be discontinued, it may not be possible to grant an Interruption of Study.

### **Footnote**

- <sup>1</sup> Where it is not possible to agree a return to study plan prior to agreeing an interruption, this should be done at least one month before you return to your studies in conjunction with your departmental point of contact – see 8.3

# STUDENT COMPLAINTS PROCEDURE

## SECTION ONE-HOW TO RAISE A COMPLAINT

### Introduction

1. This Student Complaints Procedure ("this Procedure") sets out how the London School of Economics & Political Science (hereinafter "the School", "we", "us", "our") will deal with complaints that a student of the School ("you") may wish to pursue. Our aim is to make this Procedure accessible and understandable, as well as to encourage the early resolution of complaints in a way that is fair, reasonable and proportionate. It should be read in conjunction with the General A-Z guidance set out in Section Two.
2. For the purpose of this Procedure, we consider you to be a student of the School if:
  - 2.1. You are a registered student as long as you are pursuing a programme of study for which you are receiving teaching and/or supervision, or from which you are on an authorised temporary absence that does not require interruption or an extension to the length of your programme of study; or you are on a period of authorised interruption or have been suspended from your programme of study. This will also include LSE Summer School students and LSE Executive Education Programme student participants.\*
  - 2.2. You are a Former Student, and any complaint is lodged within three months after your programme of study formally ceased or (if eligible to graduate) your Graduation date. This would still be subject to whether you would be eligible to lodge a complaint under Section 10 of this Complaints Procedure.
3. We define a complaint as an expression of dissatisfaction by one or more students about an academic or administrative service or facility that we or someone on our behalf provides you from your acceptance of our offer of a place at the School up to the end of your programme of study with us.
4. This Procedure aims to enable you to understand how we would normally handle student complaints.

### Stage 1-Early Resolution

5. This stage is aimed at addressing straightforward concerns swiftly and locally rather than escalating them into formal complaints. This stage could include face-to-face discussion with you or asking an appropriate member of staff, or mediator/conciliator to deal with the matter.
6. If you wish to raise a complaint, or undertake mediation, you should do so within **Twenty (20) working days** from the date of the incident/s. This will provide us with an opportunity to attempt to resolve the issue/s as efficiently and as amicably as possible. You can present your complaint to the following people:
  - 6.1. If your complaint concerns an academic matter: your Academic Adviser, Personal Tutor, Supervisor, Programme Director or Head of your Academic Department, or;
  - 6.2. If your complaint concerns a non-academic matter: the Deputy Head of Student Services (Advice and Policy), the person with whom you have been dealing, their line manager or the Service Leader of the relevant Division.
7. Unless there is good reason for not attempting an early resolution, we will not normally investigate issues as a formal complaint without the early resolution stage being followed.

### Stage 2-Formal Complaint

8. If you are dissatisfied with the outcome of the early resolution or mediation, or consider this stage to be inappropriate, or if the issues are complex and may require a detailed investigation, then you can pursue a formal Complaint by submitting the Complaint Form (Appendix A) to the School Secretary ("the Secretary").
9. The School aims to complete consideration of a formal complaint and any associated review within ninety (90) calendar days. The deadline requires that you meet all deadlines we set for submission of evidence. In some cases, we may need to extend this deadline and in these circumstances we will contact you to inform you of this and keep you regularly updated on the progress of your case.
10. You must send your Complaint Form to the School Secretary by no later than:
  - 10.1. **Ten (10) working days (five (5) working days for LSE Summer School students and two (2) working days for LSE Executive Education Programme student participants)** from the end of an attempt at early resolution or mediation; or
  - 10.2. **Twenty (20) working days (ten (10) working days for LSE Summer School students and five (5) working days for LSE Executive Education Programme student participants)** from the date of the incident/s, with an explanation of why you have not attempted early resolution or mediation.
  - 10.3. **Three (3) months** from the date your programme of study formally ceased or (if eligible to graduate) your Graduation date  
For the avoidance of doubt, 10.3 will apply in cases where you were unable to raise a complaint in accordance with 10.1 and 10.2.

*\* For the avoidance of doubt, those undertaking any investigation and decision making into any complaint made by LSE Summer School Programme students or LSE Executive Education Programme student participants will take into consideration the short length of the LSE Summer School or Executive Education Programme and seek to ensure that*

where possible, complaints are addressed and completed within the duration of the Programme.

11. You are asked to set out your complaint clearly and where possible provide evidence to substantiate the issues raised. You should state the outcome you are seeking. The types of evidence you can provide include but are not limited to:
  - Independent medical evidence
  - Expert reports by professionals
  - Witness statements
  - Relevant correspondence
  - Financial information
12. On receipt of your formal complaint, the Secretary will carry out or delegate to someone within the Legal Team to carry out an initial consideration of your complaint and as soon as is reasonably practicable will write to you to confirm:
  - 12.1. Whether s/he considers your complaint to be eligible under this Procedure, and:
    - 12.1.1 if it is eligible, how s/he intends to deal with it; or
    - 12.1.2 if it is ineligible, explain why not and then issue you with a Completion of Procedures letter;
    - 12.1.3 Whether the complaint should be referred to a different procedure
    - 12.1.4 whether the complaint is to be referred to conciliation or mediation
    - 12.1.5 Whether s/he intends to put in place any alternative study or work arrangements while your complaint is investigated, which you and/or an affected party can appeal against; and
    - 12.1.6 If s/he has delegated the matter, the name of the individual who will be responsible for investigating. S/he can delegate decision-making powers on your complaint only to another member of staff at an appropriate level
    - 12.1.7 whether swift action needs to be taken in cases which include but are not limited to:
      - Complaints involving a threat of serious harm
      - Cases where the impact of the issues raised has detrimental consequences for the student's mental health or where the student displays significant stress
      - Complaints relating to disability support
      - Issues of serious and repeated service failure and/or significant delay
      - Issues of a highly sensitive nature
13. An investigation into your complaint will take account of any evidence that you have presented to us. Any investigation may involve separate meetings with you and any other relevant parties. You and other parties have the right to be accompanied to any meetings and to comment on a written record of the proceedings. Please note that anyone who accompanies you or any other party to a meeting, such as an adviser from the Students' Union, should do as a silent observer, unless a reason to do otherwise is presented to, and agreed by, the person who has requested the meeting. We would not normally accept students being accompanied by someone acting in a legal capacity unless this is requested and agreed as a reasonable adjustment.
14. Once the investigation into your complaint is complete, you will receive the Secretary's decision in writing. If your Complaint is rejected, the Secretary will:
  - Set out the reasons behind their decision;
  - Explain any actions that they may have decided to take;
  - Inform you of whom you should contact if you wish to request a review;
  - Include the grounds on which you can request a review; and
  - The time limit for a review.
15. If you do not take the complaint to the Review stage within the time limit for doing so, then the School will close the complaint and notify you in writing. A completion of Procedures letter (noting that you did not complete the School's internal processes) can be issued at this point, if you request it.  
 If the Secretary decides to uphold a complaint, then you will receive this decision in writing and it will:
  - Explain how and when any remedy will be implemented
  - What you can do if you remain dissatisfied

### Stage 3 Review

16. If you are dissatisfied with the Secretary's Decision, you may submit a Review to a Member of the School's Management Committee within **fifteen (15) working days** of receipt of the Secretary's Decision.
17. A Review is not an opportunity to re-submit your complaint for a second opinion. It is normally an assessment of whether the Secretary's handling of your complaint, including the final decision, was fair, reasonable, proportionate and timely in the circumstances.

## 134 School Regulations

17.1 As such, a request for a review may be made on the following grounds:

1. A procedural flaw or irregularity that caused reasonable doubt as to whether the same decision would have been reached had it not occurred;
2. New material evidence, which must be supported by a valid explanation as to why it was not submitted earlier in the process and is instead being submitted at this late stage; and
3. The decision was unreasonable or disproportionate.

With these grounds in mind, your Review should:

17.2. Set out clearly the grounds on which you are requesting a Review;

17.3. Attach any new evidence, along with an explanation as to why this evidence is being submitted at this late stage of the Procedure; and

18. The Pro-Director will decide to either uphold or overturn the Formal Complaint decision within up to twenty-eight (28) days (ten (10) working days for summer school students and five (5) working days for LSE Executive Education Programme student participants) of receipt of your Review request. In complex cases, the Pro Director may need longer to come to a decision and will update the relevant individual bringing the complaint accordingly.
19. If the Pro-Director rejects your Review and upholds the Formal Complaint decision, he/she will convey their decision in writing in a **Completion of Procedures Letter**. It will:
- Set out the reasons behind their decision;
  - Explain any actions that they may have decided to take; and
  - Inform you of your right, and how, to approach the Office of the Independent Adjudicator for Higher Education
20. If the Pro-Director overturns the Formal Complaint decision, the School will then write to you to explain how and when we will implement any remedy proposed by the Pro-Director. The remedy may include referring the complaint back to the formal stage for reconsideration.

In these circumstances, a Completion of Procedures letter can be issued at your request if you are unhappy with the remedy proposed.

### Office of the Independent Adjudicator for Higher Education (OIA)

21. If after receiving the Completion of Procedures Letter from the Pro-Director, you remain dissatisfied with the outcome of, or the way that we have handled, your complaint, you may approach the (OIA). This organisation provides an independent scheme for the review of student complaints. The OIA normally require you to have completed our internal Procedure and received a Completion of Procedures Letter from us before you approach it by completing a Scheme Application Form. You can find more information on its website at [www.oiahe.org.uk](http://www.oiahe.org.uk).

## SECTION TWO - GENERAL A-Z GUIDANCE

### 1. Advice and Alternative Procedures

It is impractical for our Student Complaints Procedure ('this Procedure'), or any other procedures, to cover every kind of issue that a student wishes to raise with us. We therefore have a number of different procedures to deal with specific types of circumstances, issues or events. You should note that you cannot use this Procedure to:

- Question the academic judgement of one or more members of staff;
- Appeal against examination marks;
- Complaints and Appeals against an admissions decision;
- Raise issues concerning a position of employment;
- Question the actions or policies of the LSE Students' Union; or
- Appeal against a decision reached under a different Procedure. If there is already a separate complaint procedure that you are subject to and which you must use in the first instance.

In some cases, your complaint may not be easily categorised into one School Procedure. If this is the case, the School will inform you of which specific issues will be considered under which specific procedure and we will direct you to the alternative appropriate procedure for any remaining issues. If two procedures are to be pursued at the same time, then one procedure may be suspended pending the completion of another.

Alternatively, the School may decide, with your Agreement, to consider matters altogether. If this is the case, then the School will inform you about how matters will be investigated, where responsibility for overall conduct of the matter lies, and who will issue the final decision.

You can obtain advice on the way we might handle the issue/s that you wish to bring to our attention by approaching any of the following people:

- Your Academic Adviser or Head of Department.
- The Head of the relevant administrative Department
- School Senior Advocate for Students
- The Head of Student Services

- The LSE Students' Union Advice Centre
- The Adviser to Male or Adviser to Female Students
- The Warden or Sub-Warden of your hall of residence
- The Head of the LSE Legal Team
- The Ethics Manager

You can find their contact details on our website (see our 'What to do if you have a problem' page) or by visiting or contacting The Student Services Centre ([ssc.advice@lse.ac.uk](mailto:ssc.advice@lse.ac.uk)) in the Old Building.

We will normally refer complaints about a third party to the organisation that is responsible for that party.

## 2. **Anonymous Complaints**

We will not normally pursue anonymous complaints where we believe our doing so would compromise the fairness and/or reasonableness of this Procedure.

## 3. **Collaborative Programmes**

If your programme of study is provided by us in collaboration with one or more institutions, we will not use this Procedure to consider your complaint if it was agreed between us and the other institution/s that another procedure would apply. We will ensure that you are made aware of, and have access to, the relevant procedure.

## 4. **Confidentiality**

It is essential that you feel confident and secure about raising a complaint. We will therefore keep information confidential, unless doing so would compromise the fairness and thoroughness of our investigation, or we are required to disclose information by law, which includes our having to comply with the relevant data protection legislation such as the Data Protection Act 1998 and the General Data Protection Regulation (GDPR). Such legislation requires us to handle and record your and other people's personal information securely and for relevant purposes only. It also gives you and other people the right to access your personal information, which in general terms is any information that could be considered biographical. Our normal approach is to disclose information on a 'need to know' basis.

## 5. **Criminal Investigations**

We will not normally look into a matter that is also the subject of an external criminal investigation until that investigation is concluded, but we reserve the right to conduct an internal investigation at any point when we deem it appropriate to do so. Examples of our doing so may include the need to prevent harm being caused to other members or the day-to-day business of the School.

## 6. **Equal Opportunities**

When necessary, we will put in place reasonable adjustments and provide you with additional support to help you use this Procedure. Such measures may involve us extending a deadline, providing a translation service or amending this Procedure. You should present any requests to make adjustments to the Secretary or other person who is overseeing an investigation, either directly or through a third party.

## 7. **Frivolous, Vexatious or Misleading Complaints**

Frivolous or vexatious complaints include but are not limited to:

- Complaints or academic appeals which are obsessive, harassing or repetitive
- Insistence on pursuing non-meritorious complaints and/or unrealistic outcomes
- Insistence on pursuing what may be meritorious complaints in an unreasonable manner
- Complaints which are designed to cause disruption or annoyance
- Demands for redress which lack any serious purpose or value

The School has the discretion to terminate consideration of a complaint if it considers it to be frivolous or vexatious as outlined above. In these circumstances, we would write to you explaining why we were terminating consideration of the matter with details on how to appeal. For the avoidance of doubt, the individual reviewing the appeal would only review the information previously provided by the Student including the representations the student has made and will decide whether to confirm the decision that the complaint is frivolous or vexatious or to re-open the complaint.

We may also consider taking disciplinary action if your complaint is considered to be frivolous, vexatious or deliberately misleading.

## 8. **Group Complaints**

We will consider how to deal with complaints by two or more persons on a case-by-case basis, though, as far as is practically possible, we will follow this Procedure. We will notify you and any other complainants of any procedural changes, which we reserve the right to make, provided our procedure remains fair, reasonable and timely in the circumstances.

The School may accept Group complaints where the same issue(s) affects a number of students. In this case, the School will require the Group to appoint a spokesperson to represent the group as a whole and to liaise with other students.

The School reserves the right to separate out group complaints where individual remedies would be more appropriate and to apply a resolution to a wider number of students than may have submitted the group complaint.

The decision will be addressed to the 'group spokesperson.' All students who are party to the group will be named in the decision letter and any subsequent letters and a copy will be sent to all students' party to the group.

If a student wishes to withdraw from the group at any time, this should be confirmed in writing, either by email or post, to the person managing the complaint.

For Data Protection Purposes, each student party to the group will be required to sign an individual Group Complaints Consent form. The consent of all parties to the group will need to be received by the person managing the complaint prior to accepting the group complaint.

### 9. Legal and Third-Party Representation

As one of our students, our contractual relationship is with you. In this regard, we will not consider any complaint that is submitted by a third party unless we are satisfied that you have given that party your explicit permission to do so.

This Procedure is subject to the civil law evidential test of the 'balance of probabilities' and the independent complaints service that is run by the OIA. As such, we would normally expect you to approach us, and subsequently the OIA if you are dissatisfied with our response, without legal representation.

### 10. Mediation

Mediation can be helpful in resolving complaints at an early stage and can be used as an alternative at any point before or after a complaint is submitted. You will not lose your right to submit a formal complaint if mediation is unsuccessful.

### 11. Procedural Bias

The person/s against whom a complaint is made will not have a role in the decision-making process of our handling of a complaint.

Therefore, if your complaint concerns someone who is designated as having a role in this Procedure, the School will use its discretion to nominate another person to perform the role.

### 12. Procedural Delays

We will give you, and you must give us, notification, and reasons for, any procedural delays or the missing of a deadline, in advance of the set deadline. We reserve the right to decide whether to dismiss or continue with our handling of your complaint if you fail to notify or respond to us by a set deadline.

### 13. Procedural Deviations

If we believe it to be appropriate, necessary, and practical or are given sufficient grounds to do so, we may vary this Procedure to resolve your complaint. We will not make any amendments that would compromise the fairness, reasonableness and/or timeliness of this Procedure, and we will explain our reasons for any amendments to you and the subject/s of your complaint.

If the matter complained about is subject to other internal procedures and these have not yet been completed, then any complaint received under this Procedure will be stayed pending the outcome of the other proceeding.

Deviations from this Procedure will not invalidate any action taken against a student unless the integrity of the process is compromised. The person who is overseeing an investigation, usually the Secretary, a Pro-Director will decide when and how to deviate from this Procedure and explain to the affected parties the reason for doing so.

### 14. Protection

We will take appropriate steps, including the possibility of disciplinary action, to protect any parties involved in a complaint case from being victimised or treated unfairly.

# STUDENT COMPLAINTS PROCEDURE

## Appendix A: Complaint Form

<b>Student ID:</b>	
<b>Surname:</b>	
<b>First Name:</b>	
<b>Address/Email:</b>	
<b>Telephone:</b>	
<b>Date of incident :</b>	
Have you attempted early resolution as set out under this Procedure and if so with who? What was the outcome? If this has not been attempted, what is the reason for lodging a formal complaint directly?	
<b>Summary of complaint:</b> [This should include what the incident is that is referred to, where the incident happened, the parties involved, the basis of the complaint and, where appropriate, the outcome sought.]	

Signed:

Dated:

## STUDENT COMPLAINTS PROCEDURE

### Appendix B: Complaints Process flow chart

Are you a student of the School?



Have you missed the deadline for submitting a formal complaint? The School will not normally consider a complaint raised more than twenty working days from the date of the incident.



Raise the complaint for Early Resolution



If dissatisfied with the outcome of the early resolution or the early resolution is not suitable raise a Formal Complaint in writing to the School Secretary within twenty working days of incident or outcome of Departmental Level.



The School Secretary will make a decision on the Formal Complaint.



If dissatisfied with the School Secretary's decision, you can request a Review within fifteen working days of receipt of the School Secretary's decision.



Grounds for Review

1. A procedural flaw or irregularity that caused reasonable doubt as to whether the same decision would have been reached had it not occurred;
2. New material evidence, which must be supported by a valid explanation of why it was not submitted earlier in the process and is instead being submitted at this late stage; and
3. The decision was unreasonable or disproportionate.



Formal complaint decision either upheld or overturned by the Pro-Director Completion of Procedures Letter issued within 28 days of receipt of a Review (ten (10) working days for summer school students and five (5) working days for LSE Executive Education Programme student participants)



# ACADEMIC APPEALS REGULATIONS FOR TAUGHT PROGRAMMES

*These Regulations are approved by the Academic Board.*

*These Regulations take effect from the start of the 2019/20 academic year and apply to all undergraduate and taught postgraduate students.*

See also:

- General Academic Regulations for undergraduate students;
- General Academic Regulations for postgraduate students
- Schemes for Awards; and
- The procedure for submitting **Exceptional Circumstances** (ECs).

## 1. Introduction

- 1.1. The London School of Economics (LSE) is committed to a high quality student experience and these Regulations reflect the School's commitment to consider appeals in a reasonable, consistent and equitable manner.
- 1.2. These Regulations apply to all undergraduate and taught masters students of the School and are designed to protect students against unfair assessment resulting from omission or error on the part of the School or from unforeseen circumstances affecting a student.
- 1.3. No student appealing under these Regulations, whether successful or not, shall be treated less favourably than would have been the case had an appeal not been made.
- 1.4. The Regulations are aligned to the appropriate advice and guidance in the QAA's UK Quality Code for Higher Education and the Good Practice Framework: Handling Academic Appeals and Student Complaints (**Office of the Independent Adjudicator for Higher Education – OIA**).
- 1.5. In accordance with the definition provided by the QAA, the School defines an academic appeal as: "A request for a review of a decision of an academic body around a mark, outcome or decision. Students may appeal an outcome on the basis of evidence or procedure, but not on the basis of disagreement with academic judgement."
- 1.6. The principles of natural justice and procedural fairness will be applied in the consideration of all appeals. All appeals will be dealt with confidentially, but on the understanding that suitable enquiries will have to be made in order to investigate the matters raised in the appeal.
- 1.7. Details of the grounds of appeal are contained in Section 2, but in short, you can appeal to have an Exam Board's procedural error corrected (you cannot just appeal their decision per se) and/or you can appeal to have your Exceptional Circumstances considered as if they were not submitted on time, by demonstrating good reason(s) for their late submission.
- 1.8. These regulations govern the procedure for making an appeal; they do not apply to complaints about issues affecting the provision of teaching, learning, research, supervision or exams. For information on how to raise a complaint about these issues see the Student Complaints Procedure and the Exam Procedures for Candidates.
- 1.9. Where your appeal in part or whole would be more appropriately considered under the Complaints Procedure, you will be informed of this and invited to submit a Complaint Form should you wish to do so. The aspects of the appeal that would be more appropriately considered under the Complaints Procedure will be deemed invalid for the purposes of your appeal, unless they have a material impact upon the appeal in which case they may exceptionally be considered under both procedures.
- 1.10. This appeal procedure is an internal process, not a legal process. Normally, we expect you to represent yourself when using this procedure. However, if you deem it more appropriate you may appoint a representative, provided that you send an email from your LSE email address to **ssc.appeals@lse.ac.uk** confirming that they have your consent to submit an appeal on your behalf. For context, it would also be useful if you could briefly outline their job and/or relation to you so that any conflict of interest, bias or perceived bias can be avoided.
- 1.11. If you would like support or guidance with your appeal, then you are advised to contact the **LSE Students' Union Advice Service**, who are able to provide free, independent advice to students at all stages of this process.
- 1.12. If, when making an appeal, you believe you should receive reasonable adjustments to the procedure on the grounds of disability, you should clearly state this in the appeal.
- 1.13. The Academic Registrar (or nominee) has overall responsibility for these Regulations.

## 2. Grounds for Appeal

- 2.1. You can appeal against decisions made by LSE examination boards, including the School Board of Examiners, the Graduate School Board of Examiners, any sub-board of Examiners, and the LLB Board of Examiners. You can make an appeal on one or both of the following grounds:

- 2.1.1. That the Exam Board did not follow the correct procedure such that there is reasonable doubt that the decision would have been the same if the correct procedure had been followed ('Procedural error');
- 2.1.2. That there is new information about Exceptional Circumstances (ECs) that affected the examination outcome. The School's General Academic Regulations state that "such circumstances would normally be sudden, unforeseen, out of the student's own control and proximate to the assessment(s) in question".
- 2.2. If you are appealing under 2.1.2, you must provide:
  - 2.2.1. Evidence of the exceptional circumstances that affected the assessment in question, and;
  - 2.2.2. Evidence of a good reason for not reporting those circumstances at the time, as set out in the procedure for submitting **exceptional circumstances**.

### 3. What Can I Appeal Against?

- 3.1. Any result; e.g. final degree classification, course mark etc. can be appealed against on the ground of procedural defect; furthermore, you can appeal against the following on the basis of new information about exceptional circumstances:
  - 3.1.1. Your final degree classification;
  - 3.1.2. Not being awarded a degree, or a decision to class you as a 'Final Fail';
  - 3.1.3. A mark or grade of 'Absent', 'Incomplete' or 'Fail'.
- 3.2. If you are appealing on the basis of exceptional circumstances, you will need to provide evidence of:
  - 3.2.1. The exceptional circumstances, and;
  - 3.2.2. Why you did not report these circumstances at the appropriate time, as set out in the procedure for submitting exceptional circumstances.
- 3.3. If you are appealing against your final degree classification on the basis of exceptional circumstances, in addition to the conditions set out in 3.2, you will also have to meet the following conditions:
  - 3.3.1. Your classification marks are no more than three marks below the next higher classification in a single course, or;
  - 3.3.2. Your aggregate is no more than fifteen marks away from the next higher classification on aggregate if you are an undergraduate student; or no more than ten marks away from the next higher classification on aggregate if you are a postgraduate student.
- 3.4. There are no other aspects of your academic results that you can appeal against. For example, you cannot appeal with regard to:
  - 3.4.1. Provisional results;
  - 3.4.2. Exceptional progression decisions;
  - 3.4.3. A mark being capped because it is a resit;
- 3.5. Specifically, the School does not accept academic appeals that challenge academic judgement. The OIA defines academic judgement as "a judgement that is made about a matter where only the opinion of an academic expert is sufficient". For example the final grading of assessment, based on clear marking and moderation procedures, is an academic judgement.
- 3.6. The School will not consider appeals which it considers frivolous or vexatious. The decision of the Academic Registrar that an appeal is frivolous or vexatious is final. Any such appeal will be closed and a Completion of Procedures letter will be issued.

### 4. Submitting an Appeal

- 4.1. The deadline for submitting an appeal is 10 working days from when your results are published. To make an appeal, you must complete the appeal form and submit it, along with all the evidence that you want considered, to the Student Regulations Team (SRT) by the deadline.
- 4.2. You must send your appeal to the SRT via [ssc.appeals@lse.ac.uk](mailto:ssc.appeals@lse.ac.uk). Hard copy appeals are not accepted unless by prior agreement with the SRT. You should receive email within 1-3 days confirming receipt – it is your responsibility to follow up to confirm receipt if you do not receive this acknowledgement.
- 4.3. By submitting an appeal, you are giving the SRT permission to seek further detail about your case as required – this may involve consulting your student record, your academic department, any School service or any external service (for example, if you have taken an intercollegiate course).
- 4.4. You must submit all supporting evidence at the same time as you submit your appeal form. Late evidence will not be accepted without explicit prior permission from the SRT. If you need additional time to submit evidence, you must contact the SRT **before** the appeal deadline to explain your reasons and ask for permission.
- 4.5. The SRT will not obtain evidence on your behalf; it is your responsibility to submit any evidence that you think is relevant to the consideration of your appeal. Prior to submitting your appeal and evidence, you

should consult the School's 'Standards of Evidence'.

- 4.6. All evidence must be in English and you are responsible for obtaining official translations as necessary.
- 4.7. Evidence in relation to Exceptional Circumstances should demonstrate the impact of the circumstances on you; evidence solely in relation to a third party may not be the best, or appropriate, way of demonstrating this impact. Where the circumstances are, for example, that you were worried about the health of a family member, you need to submit evidence to show how these circumstances specifically affected you and your academic performance.
- 4.8. Any evidence containing information relating to a third party (other than a death certificate) cannot be considered as part of your appeal and will be destroyed, unless that party has given their express consent for the information to be used and stored.

## **5. Appeal Consideration: Stage 1**

- 5.1. The SRT will review each appeal to determine its validity in accordance with sections 2.1 and 2.2 above. Where the SRT deems an appeal to be valid, it will be considered, where it is deemed invalid it will be rejected and the student will be notified of the reason(s) and offered the opportunity to request a review of the decision as per Section 10 below.
- 5.2. The SRT will consider each appeal and determine whether it is reasonable to accept or reject the appeal. Such consideration will be based on the student's statement and the evidence submitted in support of it, with due regard to equity across the School. Information from staff members, other students or outside agencies may also be sought, as appropriate, by the SRT when considering an appeal.

## **6. Accepted Appeals**

- 6.1. Where the SRT considers that it is reasonable to accept an appeal; for example where your statement and evidence demonstrate that the ground(s) appealed under have been clearly met, you will be notified of the reason(s) for your appeal being accepted.
  - 6.1.1. In the case of 'Procedural Error', any disadvantage caused by the error(s) will be rectified; this will mean that normally you will be put back in the position you would have been in prior to the error(s), with the error(s) being corrected;
  - 6.1.2. In the case of Exceptional Circumstances, your reason(s) for not notifying the School of your ECs by the deadline will be accepted
- 6.2. This will be the end of the appeals process. However, if you are dissatisfied with this outcome you can request a review of the decision as per Section 10 below

## **7. Accepted Appeals – Further Action**

- 7.1. If the SRT accepts your appeal that marks the conclusion of the appeal process. They will then refer the matter appealed against to the SBE/GSBE Chair, or their nominee for their consideration and decision. The Chair or their nominee will make a decision, ensuring that the correct procedure is followed and, if appropriate, that your ECs are considered as if submitted on time. For the avoidance of doubt, the Chair's (or their nominee's) decision is different to, and additional from, the SRT's decision to accept your appeal. The SRT's decision to accept your appeal should not be taken as an indicator of the Chair's (or their nominee's) subsequent decision. The Chair's (or their nominee's) possible decisions could include:
  - 7.1.1. Awarding you a degree, or;
  - 7.1.2. Awarding you a higher degree classification, or;
  - 7.1.3. Granting you another attempt at a course or courses that you have previously failed. The failed attempt(s) will remain on your record, and you will not be permitted to re-sit any element of assessment which you have already passed, or;
  - 7.1.4. Discounting failed course(s) as a whole meaning that the failed attempt will be removed from your record.
  - 7.1.5. It being determined that your Exceptional Circumstances do not merit a suspension of the School's regulations.
- 7.2. For undergraduate students only, where a first attempt is discounted, this means that you will sit the next attempt without it being capped at a pass mark.
- 7.3. You will be notified of the SBE/GSBE Chair's decision by the SRT, this decision is not part of the Appeals Procedure and is not governed by these Regulations; rather it will be governed by the application of the relevant classification scheme and associated regulations.

## **8. Rejected Appeal at Stage 1**

- 8.1. If your appeal does not clearly demonstrate that the ground(s) of appeal have been met, the SRT will reject the appeal. The reason(s) for the decision will be clearly explained and any evidence/information upon which the decision was based that you did not provide will be provided to you as part of the decision; although this may be in a redacted form to protect the confidentiality of others.
- 8.2. If your appeal is rejected, you will be notified that you can request a review of the decision as per Section 10

below.

## 9. Common Reasons Why Appeals Are Unsuccessful

- 9.1. The following list is not exhaustive but explains the most common reasons why appeals are rejected or deemed to be invalid.
- 9.2. The appeal was received outside the deadline of 10 working days without good reason and evidence for the delay. In cases where a delay is unavoidable, the appeal must be submitted as soon as possible after the deadline and must include an explanation and independent supporting evidence covering the entire period affected.
- 9.3. The Exceptional Circumstances could, in the opinion of the SRT, have been disclosed via the Exceptional Circumstances procedure; i.e. in time for consideration by the Sub-Board of Examiners for your programme.
- 9.4. The appeal is made on the grounds of Exceptional Circumstances, but the evidence does not meet the criteria set down in the School's **'Standards of Evidence'**.
- 9.5. Although frequently cited in appeal applications, the following do not constitute valid grounds for appeal:
  - 9.5.1. Disagreement with the academic judgement of a Sub-Board/Board in assessing the merits of an item of academic work or the classification of a final award, where the Board's decision was reached in accordance with the School's regulations and procedures. In such circumstances you should request feedback from the relevant course tutor;
  - 9.5.2. Ignorance without good reason of the published regulations and procedures, including deadlines for submitting Exceptional Circumstances or Deferral requests;
  - 9.5.3. Academic performance being affected by alleged poor teaching, supervision or guidance. In such circumstances you should submit a complaint in good time in accordance with the Complaints Procedure.

## 10. Appeal Review: Stage 2

- 10.1. If a student is dissatisfied with the outcome of their appeal, including it being deemed invalid, they can request a review in accordance with the following grounds:
  - 10.1.1. A review of the appeal procedure already followed;
  - 10.1.2. A consideration of whether the outcome of the appeal was reasonable in all circumstances;
  - 10.1.3. Consideration of new relevant evidence, which the student was unable, for valid reason(s), to provide earlier in the process.
- 10.2. To request a review, you must write to the SRT with specific, concise reasons for your request and submit it within 10 working days of receiving the outcome of your appeal, using [ssc.appeals@lse.ac.uk](mailto:ssc.appeals@lse.ac.uk)
- 10.3. If you would like support or guidance with requesting a review, then you are advised to contact the LSE Students' Union Advice Service, who are able to provide free, independent advice to students at all stages of this process.
- 10.4. The review will not normally entail a reconsideration of the appeal but will check whether the appropriate procedures were followed and that the decision to reject the appeal was reasonable. The review stage will not usually consider issues afresh or involve a further investigation. It will also not consider any actions taken subsequent to the conclusion of the appeals process; for example, the actions outlined in Section 7 above.
- 10.5. The review will be undertaken by the Academic Registrar (or nominee, who will have had no previous involvement with the appeal).
- 10.6. If the review concludes that appropriate procedures were not followed, and/or that the decision to reject the appeal was not reasonable, the Academic Registrar (or nominee) will set aside the original appeal decision and determine a new one as per Sections 6 and 7 above.
- 10.7. If the appeal remains rejected, you will be notified of the reason(s) for this decision.
- 10.8. In either case you will be issued with a Completion of Procedures letter.

## 11. Concluding Remarks

- 11.1 You will normally be notified of the outcome of your appeal within 90 days of the date that the appeal was initially received by the School. Where this proves not to be possible, you will be notified of the progress of the review to date.
- 11.2 The School subscribes to the independent scheme for the review of student complaints. If you are dissatisfied with the outcome of your appeal you may be able to apply for a review of your appeal to the Office of the Independent Adjudicator for students in Higher Education (**OIA**) providing that the complaint you take to the OIA is eligible under its Rules. The School will confirm in writing to you by way of a Completion of Procedures letter, when you have exhausted the University's internal procedures. At this point you may apply to the OIA if you wish. If you would like support or guidance with applying to the OIA, then you are advised to contact the LSE Students' Union Advice Service, who are able to provide free,

independent advice to students.

- 11.3 You will normally have one calendar year in which to submit a complaint to the OIA. The exact deadline will be stated in the Completion of Procedures letter.
- 11.4 You should note that an anonymised record will be kept of your appeal and of its outcome in order that trends and themes in appeals can be identified, addressed and improvements introduced.
- 11.5 Student Services will hold the full documentation of your academic appeal in line with the School's record retention schedule.
- 11.6 Fraudulent appeals will lead the School to take action under its disciplinary procedures.

## REGULATIONS ON ASSESSMENT OFFENCES. APPLICABLE FOR ALL STUDENTS

*These Regulations are approved by the Academic Board*

*Last updated: July 2022*

These Regulations apply to all allegations of assessment offences against assessments (as defined by Regulations 9 and 10) submitted to the School from the 2022/23 academic year. All allegations for assessments submitted before this date will be considered under the Assessment Offence Regulations that were in place at the time the assessment was submitted. These regulations should be read in conjunction with the School's **Ethics Code** and **Code of Good Conduct**.

### Preamble

Assessment is the means by which the academic standards that students achieve are made known to the School and beyond. It also provides students with impartial feedback on their performance. Assessment forms a significant part of the process by which the School monitors its own standards of teaching and student support. Students who commit academic misconduct in any assessment submitted to the School, either by accident or especially if they deliberately cheat, risk severe sanctions from the School which can impact their academic and future careers.

Further, it is now a criminal offence to provide, or arrange for another person to provide, contract cheating services for students enrolled at a higher education provider in England. Students who are found to engage in contract cheating services risk not only severe sanctions under these regulations but the School's **Disciplinary Procedure** as well where it may be determined to refer the matter to the Police.

### What is academic misconduct?

1. All work for classes and seminars (which could include, for example, coursework assignments, dissertations/ project work, group work, presentations, posters, problem sets, research proposals and any other work submitted to the School) must be the student's own work. Direct quotations from other sources/materials must be placed properly within quotation marks or indented and must be cited fully. All paraphrased material must be clearly acknowledged. Infringing this requirement, whether deliberately or not, or passing off the work of others as the student's own work, whether deliberately or not, is plagiarism.
2. The definition of a student's own work includes work produced by collaboration expressly allowed by the department concerned or, at MPhil/PhD level, allowed under the Regulations for Research Degrees. If the student has not been given permission, such work will be considered to be the product of unauthorised collusion regardless of whether this is with anyone inside or outside LSE and will be considered as an offence under these Regulations.
3. A piece of work may only be submitted for assessment once either to the LSE or elsewhere. Submitting the same work, or part of that work (either formative or summative) twice will be regarded as an offence of 'self-plagiarism' and will be considered under these Regulations. However, earlier summative or formative work may be used as an element of a larger summative assessment, provided that the amount of earlier work used is acceptable to the department and the work is properly referenced. Students wanting to use earlier work must seek clarification from the relevant department.
4. Students must ensure they submit the correct and final version of their summative work to the School. Normally, the department must treat and mark summative work submitted by the student as a genuine attempt even where a student claims to have submitted the incorrect version. It will be open to the department to run all submissions through text matching software (for example Turnitin). For the avoidance of doubt, all work received in connection with summative assessments is subject to the School's assessment Regulations.
5. The School's **Statement on editorial help for students' written work** sets out what the School considers to be and not to be permissible by way of editorial help with their written work. Contravention of the statement, whether deliberately or not, is an assessment offence.
6. The following list, although not exhaustive, provides examples of what would be considered exam misconduct. See Regulation 9.3 for the definition of exam under these regulations. Any attempt to commit one of these offences will be considered an offence in itself:
  - 6.1 bringing books, notes, instruments, calculators or other materials however they are stored or transported, which might be used to the student's advantage and are not expressly allowed by the department under Regulation 8, into the exam room or using them during an exam where expressly forbidden from doing so;
  - 6.2 where calculators are permitted, using a model of calculator not expressly permitted by the School;
  - 6.3 any writing in the script without the express permission from the invigilator e.g. writing during "reading time only", writing before the start of the exam or writing after the invigilator has announced the exam has finished;
  - 6.4 communication in any form (e.g. face to face, electronically or by other means) by a student during the exam to another individual or individuals except where expressly allowed by the department;
  - 6.5 during an exam, copying or reading from the work of another student or from another student's books, notes, instruments, computer files or other materials or aids, unless expressly allowed by the department;

- 6.6 any attempt to tamper with scripts in an exam room before or after submission or tamper with another student's script in any setting;
- 6.7 removing from an exam room any question papers, scripts (blank or completed) or other materials supplied by the School without express permission to do so;
- 6.8 offering a bribe of any kind to an invigilator, School professional services staff, examiner or other person connected with an assessment;
- 6.9 using software or information stored electronically in any form that is not expressly allowed by the department;
- 6.10 providing or receiving information about the content of an exam before it takes place, except when expressly allowed by the department;
- 6.11 impersonating or trying to impersonate a candidate, or attempting to procure a third party to impersonate oneself;
- 6.12 not complying with the reasonable request of an invigilator under these or other regulations and exam procedures;
- 6.13 any conduct of which the result would be an advantage for the student obtained by subterfuge or action contrary to published rules or regulations;
- 7 Other examples of assessment offences under these Regulations could include but are not limited to:
  - 7.1 "contract cheating" also sometimes known as 'Ghost Writing', or use of 'Essay Mills' or anything that constitutes commissioning (including buying or paying for) another person to complete an assignment, or part of an assignment which is then submitted as the student's own work. Where a student is found to have committed an offence as a result of contract cheating, they may also be referred to the School's **Disciplinary Procedure for Students**;
  - 7.2 accessing unauthorised material (as defined by the department) during a "live" assessment which includes the use of third party websites which might contain full or partial answers that match LSE assessments;
  - 7.3 falsification of data, e.g. the presentation of any quantitative or qualitative data, based on work purporting to have been carried out by the student, but which has been bought or invented by the student or altered, copied or obtained by unfair means;
  - 7.4 any attempt to solicit answers to an assessment through a third party will be deemed as academic misconduct, even where such an attempt is unsuccessful and/or where there is no evidence of the material from such a third party being used in the assessment in question.
- 8. Each department will provide instructions to students on the conventions required for the citation and acknowledgement of sources in its discipline, to what level of communication during the assessment is permitted, if allowed at all and any other specific rules regarding an assessment. The department shall also specify such books, notes, instruments, computer files or other materials or aids that are allowed to be used in conjunction with assessment. The School will confirm which calculators are permissible during an exam. The responsibility for learning the proper forms of citation, assessment rules and permitted materials (including permitted calculators) lies with the individual student.
  - 8.1 During an exam, or shortly prior to the start, the student must on request surrender to the invigilator any books, notes, instruments, calculators, computer files or other materials or aids introduced into an exam room that the invigilator reasonably believes are not allowed under Regulation 8. The invigilator shall pass such articles to the Student Services Centre, which may make copies of them and may retain the original articles and the copies at its absolute discretion.

### **Procedure under these Regulations**

- 9. In these Regulations the following definitions apply:
  - 9.1 The Assessment Regulations Team will be referred to as the "ART";
  - 9.2 "work" means summative work of any kind submitted for assessment or opinion by staff of the School, including material submitted for upgrade to PhD status;
  - 9.3 "exam" means work undertaken in an invigilated exam room, usually under timed conditions or an on-line exam format, where the department will set explicit rules around whether or not communication with other people is permitted during the assessment window and what sources/materials may be referred to during the assessment window (e.g. if it is considered an open or closed book exam).
  - 9.4 "script" means a summative assessment written by hand or using a computer, under exam conditions
  - 9.5 all allegations relating to MPhil/PhD work should be referred directly to the PhD Academy. The ART will refer any allegations it receives relating to MPhil/PhD work to the PhD Academy. For allegations relating to MPhil/PhD work all actions described in these Regulations as being undertaken by the ART will be undertaken by the PhD Academy.
  - 9.6 "department" means academic department, faculty, or institute responsible for the assessment in which the allegation is being made



- 9.7 "examination board" means the body of examiners that initially considers the work of the student;
- 9.8 "source" means the published primary and secondary material from any source whatsoever (including websites and/or online material), and includes information and opinions gained directly from other people, including students and teachers/lecturers;
- 9.9 "year" means the academic session in which a proven offence was committed.
- 9.10. the Head of the relevant department or institute or their nominated delegate will be referred to as the "departmental representative."
10. These Regulations apply to allegations of plagiarism, misconduct within an exam room or exam setting or other academic misconduct against any student. Allegations of assessment offences can take place in any work, though these Regulations cover only alleged academic misconduct in summative assessed work submitted in connection with the requirements for an LSE programme or course. Allegations of academic misconduct against a student that are outside these Regulations, for example in formative work or work submitted in connection with external publications, may be considered under the **Disciplinary Procedure for Students**.
11. The department responsible for the assessment in question will normally be responsible for conducting an investigation into any allegations. The department must determine if the allegation is **major** or **minor** and whether it is appropriate to deal with the allegation at a local level or if it must be referred to an Assessment Misconduct Panel. The department may consult with other representatives from across the School if appropriate when making such decisions. The student has the right to respond to any allegation and seek impartial advice from the Students' Union Advice Team. In all cases the department should normally seek advice from the ART before taking any formal action under these Regulations.
12. The ART can issue a warning note to a student to caution their behaviour without the need to refer the matter to the relevant department. Such a warning will only be issued where a student appears to have breached the rules but has seemingly not done so deliberately and/or has not gained any advantage (e.g. not complying with the instructions from the invigilator). The ART will flag the issue(s) to the student in order to prevent them from committing a serious breach of these regulations in any future assessment.
13. If a student infringes these Regulations they will be liable to action under these Regulations or under the Disciplinary Regulations for Students.
14. All action under these Regulations, whether by the student or by the School, should be conducted promptly.

**Making an allegation in work submitted in connection with the requirements for a programme or course:**

15. Any member of the School (staff or student) or an external examiner may make an allegation to the Head of the department. Where an examiner intends to make an allegation, they should consult any co-examiner(s) of the work concerned before contacting the Head. For exam misconduct; students should flag any concerns to an invigilator, an invigilator or other member of the School should normally make an allegation in writing as part of their report on the exam concerned. This report should be passed to the Student Services Centre in the first instance who will ensure the allegation is passed to the relevant department. If a department identifies an allegation of exam misconduct when marking a script there is no requirement to report this to the ART until a decision has been made about how to proceed under Regulation 21.
16. The Head may delegate to a senior member of the department any actions and decisions within this part of the Regulations. The representative cannot be the student's Academic Advisor, Supervisor or have had any previous involvement with the candidate outside of the anonymous marking procedure.
17. The departmental representative may consult an external examiner. For allegations relating to MPhil/PhD work the external examiner must not have previously examined the work. The departmental representative will also seek such evidence and advice as they may think necessary, which may include interviewing the student(s) concerned. Where practicable, such interviews should be conducted in the presence of an Officer of the Students' Union Advice Team. Where the allegation relates to exam misconduct, a witness may also be invited to attend if deemed appropriate. The department will keep a formal record of the interview which may be referred to by a Panel if one is convened.
18. On the basis of the evidence and advice collected under Regulation 17, the departmental representative will determine whether there is sufficient cause for the student to be required to answer a formal allegation.
19. Where the departmental representative determines there is no case to answer they may dismiss the allegation, in which case no further reference will be made to it and no information about it will be added to the student's file. It is open to the representative to caution the student if deemed appropriate (e.g. to ensure they have carefully read and understood the School and departmental assessment rules when submitting future work).
20. Where the departmental representative determines there is a case to answer, they must also determine whether it is a **minor** or **major** allegation. The severity of the allegation will determine how the matter should be considered under these Regulations. A **minor** allegation can be dealt with at a local level and a **major** allegation must normally be dealt with at a School level. The department must consider the following factors when deciding the level of an allegation:
  - 20.1 The extent to which the allegation impacts the assessment as a whole (e.g. the amount of unreferenced source material detected; or, the nature of collusion or the amount of unauthorised material that appears to match the student's submission)



- 20.2 The extent to which key ideas that are central to the assessment appear to not be the student's own work.
- 20.3 The extent to which the use of data that is central to the assessment appears not to be the student's own work (this may include but is not limited to data that appears to be falsified, invented, altered, copied, or obtained by unfair means).
- 20.4 On the balance of probabilities, the extent of a premeditated intention to deceive or otherwise gain advantage through deception or fraudulent means. In the case of plagiarism, the department should consider whether there is any evidence to suggest the student has made an attempt to reference the source material or if the evidence suggests that the student has deliberately attempted to change minor aspects of plagiarised text to give the impression that it is their own work. The department should also consider if it is possible the student has misunderstood the rules or acted unintentionally.
- 21. Before proceeding under any of the Regulations set out at 24 to 29 the department must inform the ART of all of the details of the case, their opinion on whether it is a **major** or **minor** case and reasons for this decision.
  - 21.1 The ART will advise whether or not the allegation should be treated as **major** or **minor** within the context of both the alleged offence itself and past precedent.
  - 21.2 Once the department has consulted appropriately with the ART, the departmental representative may present the allegation to the student.

### Dealing with minor allegation(s)

- 22. Where the department representative determines the allegation is minor it can be dealt with at a local level.
  - 22.1 The department must determine whether to deal with the matter as a disposal or apply a penalty.
  - 22.2 The department should not come to a decision about what penalty to apply until all of the evidence has been established and the student has had the opportunity to consider any appropriate evidence and respond to the allegation. In all cases the ART should be consulted before a formal allegation is made.
- 23. Before proceeding under these Regulations the department should take appropriate steps to check whether or not the student has a declared disability and/or any adjustments. Where this is the case the department must check with the Disability and Wellbeing Service to determine if there are any appropriate adjustments that must be applied before taking any action under Regulations 24 to 29 (e.g. present the allegation face to face and not just in writing and/or allow the student to request extra time to consider and respond to the allegation).
- 24. The departmental representative (subject to ratification by the relevant Sub-Board Chair, who may consult with other Sub-Board members), or the Doctoral Programme Director in the case of MPhil/PhD students, may take one of the following actions listed below:

### Disposal

- 24.1 If, in the opinion of the departmental representative, the nature of the formal allegation is such that if proved it would result in no, or a very small, amendment to the decision of the examination board for undergraduate or taught graduate students and there is no other justification for further time being spent on the allegation, then they may invite the student to consent to a disposal.
- 24.2 The departmental representative should present the offer of a disposal formally and in writing to the student. The allegation should be fully explained, specifying the passages of any work thought to be affected and in the case of plagiarism including the suspected sources and any related evidence which will normally include reports generated by text matching software. The student must be given a time limit of not less than five working days to either accept or decline the disposal.
- 24.3 Where the student chooses to accept this offer they must do so formally and in writing. A note will then be placed on their central file held by the Student Services Centre identifying that the offence was alleged and considered. The Academic Advisor or Supervisor may counsel the student as to their future behaviour. The examination board for undergraduate or taught graduate students will be informed of the decision; if the student's overall mark profile is borderline and they have submitted exceptional circumstances, the board will be entitled to take the allegation into account when deciding whether or not to apply the normal application of the classification scheme.
- 24.4 Normally the affected work should have already been marked and that mark should be returned. Where a mark has not yet been agreed, a mark should be determined by excluding any plagiarised material or unauthorised content and assigning a mark only to the non-plagiarised/authorised material. A department will normally use text matching software to determine the plagiarised material to be excluded. A similar approach may be used for exam misconduct, with the examiners excluding any material in the submission that has been identified from unauthorised material used during the exam or unauthorised work written in breach of Regulation 6.3 above). Once marked by internal examiners the external examiner must be consulted. For the avoidance of doubt, where the work has not yet been marked the student must be informed of the way in which the work will be marked and accept the offer of a disposal before a mark is returned.
- 24.5 If the student does not so consent, the allegation will be considered by an Assessment Misconduct Panel.

**Applying a penalty**

- 25 The departmental representative should present the allegation formally and in writing to the student, specifying the passages of any work thought to be affected and where practicable including the suspected sources and any related evidence which might include reports generated by text matching software or relevant excerpts from an invigilator report.
- 25.1 The departmental representative should invite the student to state whether the allegation is true or false and to provide a statement and/or any evidence or information about their circumstances relevant to the case, giving a time limit of not less than ten working days for them to respond, and
- 25.2 The departmental representative should advise the student they can seek advice from the Students' Union Advice Team and optionally from their Academic Mentor if they are not directly involved in the allegation or (if a research student), from the Supervisor or Doctoral Programme Director.
- 25.3 Once a response has been received from the student the department must consider all of the evidence, the student's explanation and any exceptional circumstances (provided there is appropriate corroborating evidence) provided by the student. It should also consider whether the level of support and information the School and department has provided about the assessment rules to its students was appropriate. The department must then determine whether an assessment offence has occurred.
- 25.4 The department's decision will not be affected by the unwillingness of the student, to reply to questions, either orally or in writing. Before considering whether an assessment offence has occurred in the absence of a response from the student, the department must satisfy itself that it has fulfilled Regulations 25.1 to 25.3 and that the student has had at least two separate opportunities to respond. Where the department determines that the student has had a reasonable opportunity to respond but is unwilling to reply, it may draw reasonable inferences from that refusal.
- 25.5 Where the department determines there is no case to answer they may dismiss the allegation, in which case no further reference will be made to it and no information about it will be added to the student's file.
- 25.6 Where the department determines an offence has been committed it must use its academic judgement to determine the most appropriate penalty to apply listed under the Penalties section below. Each penalty will be subject to the further application of the degree regulations and relevant General Academic Regulations.

**Penalties for minor offences**

26. Before presenting the penalty to the candidate the department must consult with the ART and explain the reasons for the proposed penalty. The ART will advise whether or not the proposed penalty is appropriate within the context of both the alleged offence itself and past precedent.
- 26.1 (For all students taking taught courses) That a new mark be determined for the work by excluding the unauthorised content/plagiarised material and assigning marks only to the non-plagiarised/authorised material in accordance with normal assessment criteria. A department will normally use text matching software and/or their academic judgement to determine the plagiarised material to be excluded. Once marked by internal examiners the external examiner should normally be consulted. An agreed mark should be released to the student within an appropriate timescale.
- 26.2 (For all students taking taught courses) That the student's overall mark and grade in the course in which the assessment takes place, be capped at the relevant Pass mark.
- 26.3 (For all students taking taught courses) That the student be awarded a zero mark for the assessed work only, which can include an assessment worth up to 100% of a half or full unit course. The student will have the right to re-submit the work provided they have not run out of attempts to do so and only where this penalty (or their other marks) results in them not being awarded the degree.
- 26.4 (For MPhil/PhD students only) Where a minor offence has occurred in material submitted for upgrade, the student can either revise the work and resubmit for a second attempt at the upgrade (where a second attempt remains), or where the second attempt has already been taken, the Upgrade Panel should determine on the basis of the non-plagiarised material whether or not the student can be upgraded in accordance with the School's regulations.
- 26.5 (For MPhil/PhD students only) Where a minor offence has occurred in the final thesis, the examiners should be made aware of the plagiarised material within the thesis, but the student can be examined in accordance with the School's regulations.

**Accepting a penalty**

27. The departmental representative must present the student with the proposed penalty in writing and advise them that they may seek impartial advice from the Students' Union Advice Team. The student must be offered the opportunity to either accept the penalty or to request that this matter proceed to an Assessment Misconduct Panel which will consider the matter afresh. The student must be allowed at least five working days to respond. The student should be informed that an Assessment Misconduct Panel has the authority to dismiss an allegation but that it may apply the same penalties available to the department or more severe sanctions as set out under Regulation 50. The student's results cannot be released until the matter is resolved. Therefore, the department should act swiftly to prevent any possible delay to progression or an award where practically possible.

- 27.1. If the student formally accepts the penalty in writing, a note will be placed on their central file held by the Student Services Centre identifying the allegation, outcome and that the matter was resolved under these Regulations. Where the student does not respond by the deadline, they may be provided one further opportunity to respond or explain why they need more time. If they do not respond the proposed penalty will automatically be applied.
- 27.2. Where a student does not respond within the deadline, it will be open to them to appeal against the penalty up to one calendar month after the Department have informed them of this decision. The appeal can only be made on the basis that the student believes they can present a good reason and evidence to show they were unable to engage with the Department at the time. In order to appeal the student must email the Student Regulations Team via [ssc.plagiarism@lse.ac.uk](mailto:ssc.plagiarism@lse.ac.uk) within one calendar month of the Department's last correspondence confirming the penalty. The student should clearly explain why they were unable to engage and provide contemporaneous supporting evidence. The Head of the Student Regulations Team or their delegated representative will determine whether or not the appeal is valid. Where it is valid the student will be permitted to formally respond to the allegation and proposed penalty. Where it is determined the appeal is not valid the penalty will stand and this is the end of the matter.
- 27.3. Where a student requests the allegation to be considered by an Assessment Misconduct Panel, the department representative will follow the instructions at Regulation 30. Whilst every effort will be made to arrange a Panel as soon as possible, it is likely that opting for a Panel hearing will delay graduation, prevent a student from utilising an in-year resit period and/or could possibly delay progression.

### **Escalating a minor allegation to a major allegation**

28. If a second allegation occurs after a candidate has had a previous allegation resolved under these Regulations the second allegation must normally be considered by an Assessment Misconduct Panel.
29. If, during the course of an investigation, a departmental representative establishes new evidence or aggravating factors, which can include any information received from the student as part of their response to the allegation, the allegation can be considered by an Assessment Misconduct Panel.

### **Dealing with major allegations**

30. All major allegations must be considered by an Assessment Misconduct Panel. The student will have the right to be presented with the allegation and formally respond in writing before the Panel convenes and at the Panel meeting itself. A departmental representative must normally attend this meeting to present the allegation to the Panel.
  - 30.1. Before an allegation can be considered by a Panel the departmental representative must present the allegation formally and in writing to the student, specifying the passages of any work thought to be affected and where practicable including the suspected sources and any related evidence which may include an invigilator report or reports generated by text matching software. The departmental representative should advise the student that a member of the ART will contact them separately to inform them about the procedure.
  - 30.2. The departmental representative must pass a copy of all of the case papers to the ART. The ART will make arrangements to convene an Assessment Misconduct Panel and will request a statement from the student and advise them of the procedure.
  - 30.3. All students presented with a major allegation will have their results withheld until the allegation has been formally concluded under these Regulations. This may mean the student will not be permitted to attend the graduation ceremony if this matter has not been fully concluded when the ceremony takes place.

### **The Assessment Misconduct Panels**

31. An Assessment Misconduct Panel will normally comprise four members. The Assessment Misconduct Panel Chair or for Mphil/PhD level cases the Chair of the Research Degrees Sub-Committee, as appropriate, will normally chair the Panel unless excluded from membership because of previous connection with the assessment in question or with the allegation, in which case a deputy Chair will chair it. Two academic members from the Undergraduate Studies Sub-Committee (USSC) and/or the Graduate Studies and a sabbatical officer of the Students' Union will also serve on the Panel as members.
  - 31.1. No person directly involved with the assessment in question or connected in any way with the allegation, investigation or the student will serve as a member when the Panel considers a case. This means a member belonging to the same faculty of the student or assessment in question will normally be excluded from being on the Panel. A member of the ART will act as secretary to the Panel. All relevant documentation will be placed before the Panel.
32. The role of the Panel is:
  - 32.1. to decide whether the allegation(s) as determined by Regulations 1-7 above, has been proved to the satisfaction of a majority of Panel members, on the balance of the evidence presented to them, and
  - 32.2. where the allegation is found proved, to apply a penalty from the list set out at Regulation 26 or 50.
33. The Panel is quorate when three of its members are present, one of whom must be the Chair.

**Preparation for an assessment misconduct Panel hearing**

34. Any actions under Regulation 24 onwards, including for the avoidance of doubt notifying the student of the allegation, will normally be delayed if the student is undergoing assessments during any of the School's main exam periods. In such cases the allegation will normally be delayed until after their last assessment in this period. This Regulation does not exclude the possibility of interviewing a student at this time, or treating this matter as a Disposal.
- 34.1 A candidate may be notified of the allegation within this time frame if it is deemed to be in their best interests to know about the allegation (e.g. to prevent them from committing any further possible misconduct in their future work). The Panel hearing itself will normally be held in abeyance until after the exam or essay has been submitted. The Student retains the right to request the Panel meeting as soon as possible.
35. The secretary to the Panel will:
- 35.1 send the student a copy of the allegation and any relevant documents that provide evidence in support of it, a copy of these procedures and a proposed timetable for progressing the matter, and
- 35.2 invite the student to state whether the allegation is true or false and to provide a statement and/or any evidence or information about their circumstances relevant to the case, giving a time limit of not less than ten working days for them to respond, and
- 35.3 advise the student to seek advice from the Students' Union Advice Team and optionally from their Academic Advisor if they are not directly involved in the allegation or, if a research student, from the Supervisor or Doctoral Programme Director.
36. The secretary to the Panel will pass the student's submissions to the departmental representative who may provide a written response within five working days for consideration by the Panel.
37. All submissions received within the time frames set out above will be made available to the Panel.
38. A meeting of the Panel will normally be called to consider the allegation. The only exception to this requirement will be where a student submits medical evidence indicating that participation in a formal hearing would clearly be detrimental to their health and wellbeing. On the basis of this evidence the Chair of the relevant Sub-Committee, in consultation with the Disability and Wellbeing Service, will determine whether or not it is appropriate to convene a Panel hearing. Where it is determined a Panel hearing is not appropriate, the ART, the department and the Panel Chair must all agree to an appropriate outcome; namely, to either dismiss the allegation or to apply a penalty as set out at Regulation 26 or 50. The student has the right to appeal this decision.
39. The secretary to the Panel will:
- 39.1 inform the student of the date on which the hearing is to take place at least five working days beforehand (though the student is entitled to waive this period of notice), of the membership of the Panel, the department representative(s) who will attend and of any witnesses who will attend, and of their right to call witnesses;
- 39.2 provide the student with a copy of any response received under Regulation 36 and any other material that the Panel will consider;
- 39.3 invite the student to attend the hearing of the allegation and to make representations, present evidence and question any witnesses;
- 39.4 inform the student that they may be accompanied or represented according to the conditions set out in Regulation 41; and
- 39.5 inform the student that they may submit additional written submissions and other forms of evidence to the Panel as long as these are received by the secretary at least two working days before the Panel hearing. Evidence submitted later will only be considered by agreement of the Panel Chair.
- 39.6 The meeting may take place in person, virtually or by hybrid. Where the meeting takes place in person or by hybrid, it will normally be possible for the student to participate remotely as long as they have informed the secretary at least three days in advance of the hearing. The Panel recognises that students may not be located in the UK at the time of the hearing and it will not draw any inferences if a candidate cannot participate in person.

**Assessment Misconduct Panel hearings**

40. The departmental representative is normally responsible for attending the hearing and presenting the case against the student. They will have the right to submit documents and other forms of evidence to the Panel (subject to the timeframe and terms set out in Regulation 39.5), to see or to listen to, as appropriate, all evidence given, to question the student and other witnesses appearing before the Panel, and to challenge evidence submitted by the student.
41. The student may be accompanied by a representative. This should normally be an officer of the Students' Union Advice Team. If not a member of the Students' Union Advice Team, the student must inform the secretary to the Panel of the background and professional qualifications of the representative at least five working days before the date set for the hearing. The student is expected to answer questions directly. The representative may speak only to clarify something the student may have said or to ask a question/clarification if they think the student has not understood a question.

42. Where the student has indicated that they will be accompanied by a legal representative the School reserves the right to recruit a legal representative to assist with the case.
43. If the student has a declared disability with the School then they may be entitled to adjustments (e.g. rest breaks during the Panel meeting). It is the student's responsibility to request adjustments at least five working days in advance of the hearing if they think they are eligible. The secretary will discuss all requests with the Disability and Wellbeing Service.
44. The student will have the right to submit documents and other forms of evidence to the Panel (subject to Regulation 39.5), to see or to listen to, as appropriate, all evidence given, to question the person presenting the case and other witnesses appearing before the Panel, and to challenge evidence. The student's friend or representative may attend the meeting to accompany the student but the student is expected to respond to the allegation directly in the first instance.
45. In exceptional circumstances, the Panel may adjourn the hearing to seek other evidence to help it in reaching its decision. Independent expert evidence may be obtained and introduced by either party, as long as it is received by the secretary at least five working days before the Panel reconvenes. Any evidence requested by the Panel will be disclosed to the student and their representative as well as the departmental representative, who will each be given the opportunity to comment upon it. Where a hearing has reconvened, its membership will be as originally appointed; no replacements will be allowed except in exceptional circumstances.
46. Any person who attended the initial hearing is entitled to attend the reconvened hearing. The student and the departmental representative are also entitled to serve further evidence and/or written submissions in response to any new evidence to be considered by the Panel, as long as these are received by the secretary at least two working days before the re-start of the hearing.
47. The validity of the proceedings of the Panel will not be affected by the unwillingness of the student, or other person acting with or for them, to reply to questions, orally or in writing, or to appear before the Panel.
  - 47.1 Before considering an allegation in the absence of the student, the Panel must satisfy itself that the secretary to the Panel has fulfilled Regulations 35 to 39 and that the student has had a reasonable opportunity to respond. Where the Panel concludes that the student is unwilling to reply to a question or questions, it may draw reasonable inferences from that refusal.
  - 47.2 If the student cannot attend because of a disability they must inform the secretary straight away. The secretary may be able to arrange adjustments in accordance with Regulation 43.
48. The Panel may meet in private, with its secretary in attendance, when it wishes, provided that in such meetings it does not hear evidence. When all evidence has been heard the Panel will meet in private, with its secretary in attendance, to make its decision. The Panel will then determine what penalty listed at either Regulation 26 or 50 it is appropriate to apply. The Panel may seek advice from the secretary regarding the School regulations, procedures and case precedent.

#### **The Assessment Misconduct Panel's decision and subsequent action**

49. Having conducted the hearing:
  - 49.1 if the Panel decides that the allegation has not been proved, it will direct that no further action be taken, and no record of the allegation or the proceedings be included on the student's record. It is open to the Panel to refer the student to their Academic Advisor to ensure they do not make the same mistakes in future work. The secretary will confirm the decision to dismiss the allegation and any informal caution in writing;
  - 49.2 if the Panel decides that an offence against these Regulations has been committed by the student, it will apply one of the penalties listed at Regulation 26 or 50, with a formal admonition to the student and a note being placed on their record. In doing so it will seek to reflect the seriousness of the offence, and may take into account any previous assessment offences committed by the student. In reaching its decision the Panel will be mindful of the need of the School to assure the highest standards among its students.
50. The penalties available to the Panel are any of those listed at Regulations 26 or as set out below:
  - 50.1 (for all students taking taught courses) that, despite the allegation being upheld, a mark be returned for the work in question. A new mark should be determined according to Regulation 26.1, or
  - 50.2 (For MPhil/PhD students only) where the offence has occurred in work submitted for an upgrade, the Upgrade Panel should determine whether or not the student should be upgraded in accordance with the School's regulations, or
  - 50.3 (For MPhil/PhD students only) where the offence has occurred in a final thesis, the examiners will examine the student in accordance with the School's regulations, or
  - 50.4 (For all students taking taught courses) that the student be awarded a zero mark, either for the assessed work or for the course as a whole. The student will have the right to re-submit the work at the next available opportunity provided they have not run out of attempts to do so and only where this penalty (or their other marks) results in them not being awarded the degree, or (for MPhil/PhD students only) results in them not being allowed to progress or be upgraded. Or
  - 50.5 (For all students taking taught courses) that the student be awarded a zero mark for the work or course as a whole and in addition, a zero mark for one or more other pieces of assessed work or whole courses



taken that year. The Panel will use its academic judgement to determine which other work and/or courses should be penalised. The student will have the right to re-submit the work or courses at the next available opportunity provided they have not run out of attempts to do so and only where this penalty (or their other marks) results in them not being awarded the degree, or (for MPhil/PhD students only) results in them not being allowed to progress or be upgraded. Or

- 50.6 (For all students taking taught courses) except where it may result in a postgraduate student receiving a Bad Fail mark, they be awarded a zero mark either for the assessed work or for the course as a whole and be denied the right to re-sit it or an equivalent course;
- 50.7 (For all students taking taught courses) that the student be awarded a zero mark for all courses taken that year, or for all courses taken that year and all previous years, and also be expelled from the School, or
- 50.8 (For all students taking taught courses) that the student's overall award classification shall drop one class. This penalty will be applied at the point the overall award classification is known. The classification will remain unchanged in the event the student can only achieve a Pass degree on the basis of their non penalised results. This penalty can be applied in its own right or in addition to the penalties listed above.
- 50.9 (PhD students only) that the student only be examined for an MPhil award in accordance with the School's regulations.
- 50.10 (For MPhil/PhD students only) that the student not be awarded any degree, and that they be denied the right of resubmission or right of appeal under these Regulations, and that they also be expelled from the School.
51. Any penalty applied by the Panel will be subject to the further application of the relevant classification scheme and General Academic Regulations.
52. If an assessment offence allegation is discovered after graduation, the student will be subject to the procedure set out in these Regulations which could result in their overall classification being lowered or the award being revoked.
53. Where practicable the decisions of the Panel will be given to the student orally by the Chair of the Panel and will be conveyed to the student in writing by the secretary to the Panel. The secretary to the Panel will also send the student a formal record of the hearing.
54. Where a Panel has decided that an offence against these Regulations has been committed by the student, the student will have the right to appeal against that decision on one or more of the following grounds:
  - 54.1 that the Panel was constituted in such a way that it was not impartial.
  - 54.2 that there has been a material breach of these procedures that affected the fairness of the Panel's decision.
  - 54.3 that relevant fresh evidence has been received that might have caused a different decision to have been made, provided the student can show that it was neither reasonable nor practical to have presented the evidence to the Panel before its decision.
  - 54.4 Any such appeal must be received by the secretary within ten working days of the date of the written confirmation of the Panel's decision sent under Regulation 53.
55. A Pro-Director or their delegated representative will have the sole right of determining whether the student has presented sufficient grounds to warrant reopening the hearing. It will be open to a Pro-Director considering an appeal to consult the Panel Chair who heard the case in question. It will be open to the Pro Director (or representative) either:
  - 55.1 to change the penalty decided by the Panel to one which in their opinion is less serious, or
  - 55.2 to direct a rehearing by a different Panel, or
  - 55.3 to reject the appeal on the basis that the student has not presented sufficient grounds to warrant reopening the hearing, which can include dismissing the submission of new evidence.
56. If the student does not appeal, they will receive final confirmation of the penalty and an explanation about its impact on their status with the School in a letter from the secretary on behalf of the Academic Registrar.
57. The consideration and conclusion of an appeal against the decision of a Panel under these Regulations will complete the procedures open to the student within the School. The appeal outcome will be confirmed in writing in a completion of procedures letter issued on behalf of the Academic Registrar. This letter will inform the student of their right to make a complaint to the **Office of the Independent Adjudicator for Higher Education**.
58. Upon the conclusion of a misconduct case the

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

**(SEE ALSO APPEALS REGULATIONS FOR RESEARCH STUDENTS)**

## DISCIPLINARY PROCEDURE FOR STUDENTS

### Purpose of this Procedure

1. The LSE ('the School') Articles of Association set out its main objectives of education and research. These can be met only if students, staff and visitors can conduct their business in conditions that permit freedom of thought and expression and in which they show respect to one another. The School has put this disciplinary procedure ('the Procedure') in place to maintain such conditions and to protect the School from actions that may harm it or its members.
2. It will be an offence under this Procedure if a student is found to have breached one or more of the School's terms or conditions, policies or procedures, codes, rules or regulations. This list includes, but is not limited to, the School's Conditions of Registration, Discrimination, Harassment and Bullying Policy, Sexual Harassment and Sexual Violence Policy, Ethics Code and Conditions of Use of IT Facilities at LSE.

### Status

3. The Secretary's Division is responsible for the content of this Procedure

### Application

4. This Procedure will apply to allegations of misconduct against students of the School. For the avoidance of doubt, this procedure will apply to the following:
  - 4.1 A registered student is a student that is pursuing a programme of study for which they are receiving teaching and/or supervision, or from which they have an authorised temporary absence that does not require interruption or an extension to the length of their programme of study. This will also include LSE Summer School students and LSE Executive Education Programme student participants.\*
  - 4.2 This Procedure also applies to a student who is on a period of authorised interruption or has been temporarily suspended from their programme of study.
  - 4.3 This Procedure will not normally apply to students of the School who have been expelled, had their registration terminated or have withdrawn from the School or to students who have completed their programme of study (whether successfully or unsuccessfully).
5. A local procedure that is specific to an area of the School may be used to resolve some allegations of misconduct. For example, LSE Residences operate their own Student Accommodation Disciplinary Code to deal with disciplinary matters that may arise within LSE Accommodation. In some cases, such as where there is repeated or major misconduct LSE Residences may refer the matter to be considered under this Procedure. It is also important to note that Students may be subject to fitness to study procedures as well as being subject to this Procedure. Additionally, an allegation of misconduct may have elements of academic and non-academic disciplinary matters. Any misconduct relating to an academic matter is considered by the Academic Regulations Team. Where a student reports a disciplinary matter against an LSE member of staff, then this matter will be referred to the LSE Human Resources Division to investigate under their procedures i.e. the Grievance Policy and Procedure for Professional Services staff/ Disciplinary and Dismissal Policy for Professional services staff/ Academic Annex Procedure for Academic/Research staff. Cases will be investigated informally or formally depending on the nature of the allegation. The Deputy Head of Student Services (Advice and Policy) will be the point of contact for students where cases are being dealt with informally by HR. The application of a local procedure will not necessarily preclude the use of this Procedure. In such cases, the School will inform the student from the outset which Procedure will be used or considered first.
6. Students who are studying at Partner Universities or at overseas collaborating institutions for a specified period of time will fall under the remit of that institution's disciplinary procedures unless alternative arrangements regarding disciplinary procedures have been agreed. Likewise students who come from Partner University or overseas collaborating institution to study at the School for a specified period of time will be subject to this Procedure. The School and any Partners/institutions may share information on student disciplinaries and complaints Any major misconduct committed by a student of the School at another Partner University or overseas collaborating institution which is upheld by them will be shared with the School who may then consider any consequences of this on the student's registered status at the School.
7. The School and the School's Students' Union have separate disciplinary procedures; the School will use this Procedure to determine whether a student has breached any of its terms or conditions, policies or procedures, rules or regulations; the Students' Union will use its own procedure to determine whether a student has breached the terms of their membership of the Student's Union. This being the case, it is possible for one allegation of a breach of discipline to be considered separately under one or both of these procedures.

*\* For the avoidance of doubt, those undertaking any investigation and decision making into alleged misconduct by LSE Summer School Programme students or LSE Executive Education Programme student participants will take into consideration the short length of the LSE Summer School or Executive Education Programme and seek to ensure that where possible, disciplinary matters are addressed and completed within the duration of the Programme.*



8. This Procedure will apply to incidents of alleged misconduct that occur on and off the School's premises (including via social media) where it affects the School's reputation in the local community or more widely or as part of activities organised or authorised by the School (such as placements, field trips, where students are studying at partner organisations/Institutions) and where the alleged victim could be the School itself, a student or employee of the School or others visiting, working or studying at the School as well as members of the Public.
9. The School reserves the right to consider third party allegations and/or historic allegations of serious alleged student misconduct that are raised formally with it and where the School assesses that there may be a continued risk to other members of the LSE community if a matter is not investigated.
10. Deviations from this Procedure will not invalidate any action taken against a student unless the integrity of the process is compromised. The person who is overseeing an investigation at different stages, usually the Secretary or their nominee, a Pro-Director or a Board of Discipline, will decide when and how to deviate from this Procedure, and explain to the affected parties the reason for doing so.

### **Equality and Diversity**

11. Members of staff involved in a potential or actual disciplinary case must give thought to any equality and diversity matters which may be relevant, particularly in relation to the following diversity strands which are referred to in the Equality Act 2010: age, disability (including mental health and wellbeing), race, gender, gender reassignment, pregnancy and maternity, religion or belief and sexual orientation. At different stages of the disciplinary procedure, requests for reasonable adjustments should be made to the Secretary or their nominee, Pro-Director or Board of Discipline (whichever is overseeing an investigation at the time).
12. In some instances, the Secretary or their nominee, a Pro-Director or Board of Discipline (whichever is overseeing an investigation at the time) may decide to postpone, interrupt or not pursue a disciplinary case because a key person is, for medical or other reasons, unfit to participate in it. This type of decision must be based on evidence that the Secretary or their nominee, Pro-Director or Board of Discipline considers relevant and adequate. The Secretary or their nominee, a Pro-Director or Board of Discipline reserves the right to reject or ask for an independent assessment of evidence if its relevance or adequacy is doubted.

### **Confidentiality and Data Protection**

13. The School will handle disciplinary cases in accordance with its own relevant confidentiality and data protection policies as well as the Data Protection Act 2018, the UK GDPR and The General Data Protection Regulation (GDPR) (2016/679). The Student Privacy Notice will also provide further information. Information relating to any disciplinary matter shall be kept confidential and will only be shared with other relevant members of School staff, the Students' Union (in certain cases where the School assesses there is a need to inform them) only where it is strictly necessary in order to investigate and/or determine an outcome of an alleged breach of discipline, dealing with any complaint arising out of it and/or implementing any sanctions or measures following a decision..
14. The relevant members of School staff, include but are not limited to certain members of the Student Services centre/Academic Registrar's Division, the Security team, the student's Department, Residences, Human Resources (e.g. in cases where the Student is also employed by the School) may also be notified of the outcome of a disciplinary procedure on a need to know basis. Information on the student's disciplinary misconduct offence and any penalty imposed will be included on the student's record. The School may also use anonymous data regarding the outcome of disciplinary cases internally for reporting, learning, training, and evaluating cases or externally with regulators in the higher education sector.
15. Personal data will not usually be shared with any third party unless the School has express consent to do so. However, there may be instances where the School may have to disclose confidential information to the police without your consent (where in exceptional circumstances the School considers that there is a high risk of continuing harm to a reporting student(s) or others members within the LSE Community or to prevent a further incident which constitutes a criminal offence from occurring), to regulatory bodies, professional bodies or other organisations with whom the student may be connected and where it might be appropriate to do so, to the civil and criminal courts if requested formally or to the Office of the Independent Adjudicator (OIA).

### **Criminal Offences**

16. Where appropriate, the School will consider referring incidents to the Police, or if necessary, UK Visas and Immigration or the Home Office. Although the School would not ordinarily pursue disciplinary action against a student while they are the subject of a Police investigation, it reserves the right to do so; particularly if a student's registration is due to expire before the conclusion of any criminal proceedings, or the safety of one or more members of the School is at risk. The School's disciplinary procedure is not an alternative to investigations carried out by the Police.
17. Where a student is acquitted of a criminal offence or where the criminal investigation has been dropped, the School may still take action under this Procedure. If a student is imprisoned, the School may still take action against them, but will need to take into account whether it is possible for a student to continue with their studies and whether disciplinary action is necessary or proportionate.
18. Students should use their best endeavours to keep the School informed of any change of details, and/or progress or change of status regarding their case.

### Precautionary Measures

19. The School can put in place precautionary measures against a student who is alleged to have committed a criminal offence or a breach of discipline at an early stage pending the outcome of criminal and/or disciplinary proceedings. For the avoidance of doubt, the implementation of such measures does not indicate that the student is guilty of misconduct, it is just a precautionary measure taken whilst a full investigation is carried out and completed.
20. The grounds for initiating precautionary measures are:
  - To ensure that a full and proper investigation can be carried out by the Police/School and/or;
  - To protect the reporting student or others whilst the allegation is being dealt with as part of a criminal/disciplinary process.
  - In cases which may involve serious harm to the reporting student and/or others within the LSE Community
  - Where a student's mental health is at risk or where the student displays significant distress
  - In issues of a highly sensitive nature
  - Cases involving an ongoing threat of disruption to other students or to the School's activities.
  - To address any refusal to comply with a health and safety requirement (including that related to epidemics/pandemics) as set out by the School (including but not limited to self-isolation and quarantine where required) by putting measures in place to prevent students from accessing either part or all of the School Premises, facilities or events.
21. In considering what precautionary measures will be taken, the School will consider amongst other factors, the nature of the misconduct committed, the circumstances of the individuals involved, the views of the police and any input from witnesses, precautionary measures can include but is not be limited to:
  - Excluding the student from areas/facilities of the School and /or halls of residence
  - Suspending the student from their studies
  - Suspending the student from attending School events/activities
  - Imposing conditions on the student such as requiring the student to have no contact with the reporting student(s) or certain witnesses and/or requiring the student to move to alternative accommodation.
22. The student will be informed of any decision that is made and the reasoning behind the decision. They will also be informed of what steps the School has taken to ensure that any disruption to their studies is minimised and what support is available to the student. The Student will then be given an opportunity to:
  - Where possible, make representations to the decision-maker before the decision is made. For the avoidance of doubt, this will not be possible in cases of an urgent, sensitive nature and/or where it is perceived that there is a high risk to a reporting student(s) or others within the LSE Community.
  - Appeal the decision within five (5) working days of the date of decision.
  - Request a review at any stage if there is a material change in the circumstances of the case.

Precautionary measures that have been imposed may be reviewed every six weeks and reconsidered as the case progresses. If an appeal is successful, then the School will notify the reporting student of this.
23. The School will take steps to prevent any student or member of staff from being victimised as a result of their involvement in a disciplinary matter. This may involve taking disciplinary action against the reported student and/or giving support to a reporting student.

### Types of Misconduct

24. The following list is indicative (but not exhaustive) of the type of offences which would constitute misconduct:
  - 24.1 engagement in any act that will, or is likely to, disrupt teaching, study, research or administrative work of the School;
  - 24.2 failure to comply with the reasonable instructions provided by the School or by any individual or body authorised to act on behalf of the School;
  - 24.3 Failure to inform the School if you are subject to criminal proceedings; i.e. police investigation and/or court proceedings during your registration at the LSE. You must notify your Head of Department and update them on the outcome of any investigation and/or proceedings;
  - 24.4 cause, or threaten to cause, injury to, or endanger the safety of, a member of the LSE Community, including but not limited to members of staff, students, visitors or other third parties;
  - 24.5 dishonest behaviour and/or fraudulent actions, which include submitting incorrect or misleading information to the School;
  - 24.6 engagement in any form of conduct or communication, including that on social media, that can reasonably be considered to be abusive, bullying or harassment of another student, member of staff, any other member of the School community and/or any visitor to the School as it is defined by the School's Discrimination, Harassment and Bullying Policy and the Sexual Harassment and Sexual Violence Policy;
  - 24.7 engagement in any act that will, or is likely to, damage or deface property of the School;

- 24.8 cause a Health and Safety concern which includes failure to comply with School or UK government guidance;
- 24.9 engagement in any conduct or communication that will, or is likely to, bring the School into disrepute or unjustifiably harm the reputation of a member of it;
- 24.10 breach of one or more of the School's terms or conditions, policies or procedures, or rules and regulations, which includes but is not limited to, the Conditions of Registration, the Discrimination, Harassment and Bullying Policy, the School's Ethics Code and any penalties or measures that have been put in place under the School's disciplinary or any other procedure; breach your LSE Accommodation Licence Agreement or the School's Student Accommodation Disciplinary Code (for those students who are living in an LSE Hall of residence);
- 24.11 commitment of a criminal act(s) which may or may not be punished in a court of law, and/or an alleged breach of discipline, which occurs on or off any of the premises that the School owns, or in any way administers (including on social media) where the alleged victim is the School itself, a student or member of staff of the School or others, including but not limited to : those visiting, working or studying at the School, and to alleged misconduct occurring during School approved and authorised activities (such as placements or fieldtrips). For the avoidance of doubt, the School may also consider third party allegations made against a student that is raised formally with it and where the School assesses there may be a risk to other members of the LSE community;
- 24.12 use of any of the School's facilities improperly and / or breach the Conditions of Use of IT Facilities at the School;
- 24.13 use of the School's name or address in a public statement, or business or other venture, without obtaining the permission of the School;
- 24.14 use of any of the School's registered trademarks without seeking permission from a relevant person in the School's central administration;
- 24.15 recording a lecture, meeting or other LSE event, or use such a recording, without the permission of the lecturer or person or group who organised the event. For the avoidance of doubt, the notes taken of lectures, meetings and LSE events can only be used for educational purposes and cannot be shared with a third party without the consent of the lecturer, meeting organiser or other LSE event organiser;
- 24.16 breach of the Data Protection Act 2018, UK GDPR, or the General Data Protection Regulation (GDPR) (2016/679);
- 24.17 breach the conditions of your student visa.

### Informal Resolution

- 25. Informal resolutions can be made for minor disciplinary misconduct that takes place and are intended to be flexible with the aim of resolving matters as quickly and amicably as possible, and where possible normally within fifteen (15) working days from the alleged misconduct having been raised. As such, if an individual (s) of the School believes that a student or group of students of the School has acted in a way that warrants investigation under this Procedure they should first consider contacting the Deputy Head of Student Services (Advice and Policy) as soon as they become aware of the alleged misconduct. Any excessive delay may impact on the subsequent consideration of the case.
- 26. If preferred, a reporting individual may speak to a relevant member of their academic department (e.g. their tutor, or a senior academic or administrator), the School's administration (e.g. The Adviser to Women students), a hall warden or the School's Students' Union Advice Service before an approach is made to the Deputy Head of Student Services (Advice and Policy) to consider an informal resolution. It may be that an issue can be resolved at this local level in a prompt and proportionate way. For the avoidance of doubt, there may not always be a reporting student to trigger the informal resolution as it may be that a disciplinary matter arises from the acts of a student whereby the School may consider disciplinary action, independent of any reporting student. In all cases, disciplinary action will be considered as soon as possible after the event giving rise to the allegation.
- 27. The Deputy Head of Student Services (Advice and Policy) or their nominee will decide whether it is reasonable and proportionate to resolve a case informally, and, if so, how. In some cases, the Deputy Head of Student Services (Advice and Policy) or their nominee may consider mediation or conciliation. If considered appropriate, s/he may refer the case to a Management Group to consider (where the alleged misconduct involves major misconduct and is considered to be high risk) or to the School Secretary to resolve under the formal Resolution stage of this Procedure and/or to ask whether the Police should be alerted to the case.
- 28. A student will be permitted to bring a silent observer, such as a friend, or an adviser from the Students' Union Advice Service to any meeting with the Deputy Head of Student Services (Advice and Policy) or their nominee. Any form of representation on behalf of the student is considered inappropriate unless there are exceptional circumstances, such as it constituting a reasonable adjustment. In these circumstances, once notified of this and if accepted, the Deputy Head of Student Services (Advice and Policy) or their nominee may permit the observer to actively contribute to the meeting. The Student will be informed of the allegation (s) against them and how their behaviour has breached expected standards and the student will be given a reasonable opportunity to respond to the allegation(s).

29. Deputy Head of Student Services (Advice and Policy) or their nominee will consider whether it is necessary to ask a student not to attend part or all of the premises, or use particular facilities, of the School if s/he considers it to be in the interests of one or more of the parties involved in a case, or the wider LSE community, while the informal resolution stage is ongoing. If a student objects to, or fails to cooperate with such a request, the Deputy Head of Student Services (Advice and Policy) or their nominee will consider referring the case to the School Secretary under the formal stage of this Procedure.
30. The Deputy Head of Student Services (Advice and Policy) or their nominee will produce a report confirming the action/s taken to resolve a case informally and the outcome (including possible penalty as outlined in Appendix C) and will disclose a copy of this report to the student/s and/or member/s of staff directly involved in the case as well as to the reporting individual where applicable.
31. This report, either in full or any aspect of it, will not be recorded on a student's file, although it may be considered in any subsequent investigation under the formal stage of this Procedure or if there are any further disciplinary allegations against the Student.
32. If the reported student fails to co-operate in an attempt at informal resolution, this may be considered as grounds for initiating the formal stage of this Procedure and may also be taken into account as part of the formal investigation.
33. If it is concluded that the student's behaviour was misconduct, then the Student will have the right to appeal to a Member of the School's Management Committee or their nominee within ten (10) working days (five (5) working days for summer school students and two (2) working days for LSE Executive Education Programme student participants) of receiving this outcome.
34. An Appeal must normally be made on one or more of the following grounds:
  - 34.1 A significant procedural flaw or irregularity that compromised the fairness of the process;
  - 34.2 New material evidence, which must be supported by an explanation of why it is being submitted at this late stage;
  - 34.3 An outcome being unreasonable or disproportionate;
  - 34.4 That there is bias or a reasonable perception of bias during the procedure.
35. The relevant member of the School's Management Committee or their Nominee (which may include but is not limited to an LSE Service leader) will normally complete his/her paper-based review within twenty-one (21) working days of receiving the Appeal (normally within five (5) working days for Summer School students and LSE Executive Education Programme student participants). If an appeal is received after the deadline for submitting an appeal/ requests an extension, then the student will be asked to provide good reasons why the appeal is late/need for an extension. A decision of the validity of the reason provided will be made by the relevant member of the School's Management Committee or their Nominee. If the reason provided is considered not a good reason, the appeal will not be considered and the student will be given a Completion of Procedures Letter. In determining an appeal of a decision by the Deputy Head of Student Services(Advice and Policy), they may confirm, amend or overturn the outcome imposed by the Deputy Head of Student Services (Advice and Policy). The member of the School's Management Committee or their Nominee may also decide that the matter be re-considered. They will convey their decision in writing in a Completion of Procedures Letter.
36. The Completion of Procedures Letter will contain the decision and the reasons for it, as well as a student's right of appeal to the OIA. The letter will also confirm any course of action or sanction, which may differ to the outcome of the original investigation at the informal resolution stage.

### **Formal Resolution**

37. The School Secretary is responsible for deciding whether to resolve a case formally, regardless of how the matter is brought to their attention, and, if so, how. The Secretary will also consider whether to alert the Police. The Alleged Misconduct Form at Appendix A should be used by anyone wishing to raise an alleged misconduct issue to the Secretary under this Procedure.
38. On deciding to proceed to resolve a case formally, the Secretary's Nominee will decide whether to put in place any kind of precautionary measures following consideration of a risk assessment with relevant members of the School and whilst the formal investigation is ongoing. A student who is affected by any proposed measure/s may appeal in writing to a nominated member of the School's Management Committee. A member of the School's Management Committee will respond to the appeal within five (5) working days. Please see further information on precautionary measures outlined in sections 16-20 of this Procedure.
39. The Secretary may ask a relevant member of staff (their "Nominee") who has had no prior involvement in the case, to conduct an investigation, although the Secretary will make the final decision on the case based on their consideration of the findings of the Nominee's investigation.
40. The form of any investigation will depend on a number of factors, such as the severity and complexity of the issue in question as well as the availability of evidence. However, the Secretary or their Nominee must ensure that any investigation is conducted fairly and is of a reasonable level in depth and scope.
41. The student subject to an allegation ('the Student') will be given an opportunity to present their case to the person conducting the investigation and respond to any allegations made against them. In certain circumstances, for

example, when a Student's whereabouts are not known at the time of investigation, or if they are not engaging in the process or where there may be sufficient evidence to proceed without meeting the Student (if the student is not engaging in the process), then the Secretary or their Nominee may decide to conduct the investigation in the Student's absence.

42. The Secretary or Nominee must inform the Student of their right to be accompanied to any meeting relating to the investigation by a friend or a representative of the LSE Student' Union. The friend or relevant member of the LSE Student's Union will accompany the Student as a silent observer. No representation will be permitted save in exceptional circumstances e.g. relating to a reasonable adjustment, and with the permission of the Secretary or their Nominee.
43. The Secretary or their Nominee may talk to other members of staff or students and consider documents and other evidence as part of their investigation.
44. The School will normally endeavour to complete the informal resolution stage (if applicable) and formal resolution stage of the process within sixty (60) days of the allegation being made. In some cases, for example where the case is complex, where the student and/or witnesses are unable to attend meetings, where proceedings are put on hold because of criminal investigation or where a student has impending assessments, we may need to extend this deadline and in these circumstances the Secretary or their Nominee will inform the Student(s) involved of any delay, and the reason/s for the delay and when the investigation is likely to conclude, as soon as possible.

### **Outcome of a Formal Resolution**

45. At the end of a formal investigation, the Secretary will decide whether to:
  - 45.1 Dismiss the allegation;
  - 45.2 Refer the case to other, more appropriate procedures in the School;
  - 45.3 Uphold the allegation and determine an outcome that is relevant and proportionate to the offence/s; or
  - 45.4 Refer the matter to a Board of Discipline (see below) to consider the allegation, and if necessary, determine an appropriate outcome.
46. The Secretary will find an allegation of misconduct proven if it is considered that the evidence identifies, on a balance of probabilities that misconduct has occurred.
47. When deciding on the appropriate penalty to be applied in cases of proven misconduct, the Secretary will give due consideration to the following:
  - 47.1 The Student's previous disciplinary record;
  - 47.2 If the Student had admitted the misconduct/expressed remorse;
  - 47.3 The conduct of the Student following the misconduct;
  - 47.4 Any other mitigating factors, as applicable.
48. Multiple or repeated incidents of misconduct may be treated as being more serious than a single act of misconduct and previous findings may be taken into account when considering which penalty should apply.
49. The Secretary will take into consideration the table set out at Appendix C which outlines the types of misconduct and possible penalties the Secretary may put in place. This includes but is not limited to:
  - 49.1 Take no action;
  - 49.2 Issue a formal verbal warning which shall not be recorded on the student's record;
  - 49.3 Issue a formal warning to be noted on the student's file for the duration of their registration at the School and any future proven misconduct will take such warning into account;
  - 49.4 Require the Student to make a formal written apology;
  - 49.5 Require the Student to take appropriate training;
  - 49.6 A fine;
  - 49.7 A requirement to make good the cost in whole or in part of any damage caused and/or repay/make good any financial loss suffered by a party/(ies) or to the School;
  - 49.8 An order of Service to the School for a specified period;
  - 49.9 Exclusion from the whole School or defined areas and/or facilities of the School including Halls of Residence for a specified period of time;
  - 49.10 Suspension from their studies, events or activities for a fixed period of time;
  - 49.11 Imposing conditions on a student's access to facilities if the student has been convicted of a criminal conviction where such conditions are deemed necessary for the safety and security of members of the School.
50. The Secretary has the discretion to decide on a combination of penalties and will convey their decision and the reason/s for it, in writing to the Student. The Secretary will also convey their decision to member/s of staff or student/s of the School who have been directly involved in the case where it is considered reasonable and appropriate to do so. The Secretary will also inform any other member of staff or student whom they consider has a relevant interest in the case. The Secretary will not normally disclose their decision to people who are not



members of staff or students of the School unless there is a legal requirement or as set out in Section 13 and 14 of this Procedure and where disclosure is made, it is only on a 'need to know' basis.

51. The Secretary's written response must inform the Student of their right to an Appeal to a Member of the School's Management Committee (see the "Appeal" section below).

### **Board of Discipline**

52. The School Secretary or their Nominee, will decide whether to refer the matter to a Board of Discipline for their assessment and decision. This route will normally be taken when an allegation of major misconduct is made and/or where the potential consequences are severe. For example, where an allegation may bring into question a Student's status in the School and as such may warrant expulsion from the School.

### **Membership**

53. A Board of Discipline consists of the following people:
  - The Chair of the Board of Discipline who shall be experienced in decision-making relating to misconduct cases, either through training and/or experience of student misconduct cases and/or procedures and who will have the discretion to decide on the structure and format of the Hearing;
  - The General Secretary of the Students' Union or their nominee (who must be a Sabbatical Officer of the Students' Union or a registered student of the School); and
  - An academic member of staff appointed by the Vice-Chair of the Academic Board who will have no prior knowledge or interaction with the student subject to the Board of Discipline and/or any reporting student who has raised the particular allegation of misconduct
54. All members of a Board of Discipline must participate in the whole process for the final decision to be valid. For the avoidance of doubt, due to the short duration of the Summer School Course or an LSE Executive Education Programme, the School may deviate from section 52 to convene a Board of Discipline of any two members instead of three. In these circumstances the Chair of the Board would have the casting vote.

### **Procedure**

55. The Secretary will appoint a Clerk to the Board of Discipline ("the Clerk"), who will have had no prior involvement in, and will have no decision-making powers on, the case.
56. The Board of Discipline will, at all times, respect the rights of the individuals involved, particularly in terms of confidentiality and personal welfare.
57. The Board of Discipline must give due regard to the needs of the individuals involved in a disciplinary case with a view to making any reasonable adjustments where required to enable the individuals to properly participate in the process.
58. As soon as is reasonably possible, and normally within ten (10) working days, the Clerk will inform the Student of:
  - The membership of the Board of Discipline, and the Student's right to object to the Secretary about the participation of one or more of those members, provided the objection and the reason/s for it is presented to the Secretary in writing by no later than 5 working days from the date of the Clerk's communication;
  - The procedural and logistical arrangements of the Board of Discipline ("the Hearing");
  - a summary of relevant evidence gathered during the investigation;
  - whether the Hearing will take place in person or online (i.e. via teams, zoom) and if in person whether the student is permitted to attend the hearing by alternative means (i.e. video call, zoom, teams)
  - whether the hearing will proceed if the student chooses not to or is unable to attend
  - whether other witnesses will be called and whether the student can ask them questions directly or through the Chair (the Board will need to know names of witnesses in advance of the hearing and in any case no less than five working days before the scheduled Board of Discipline Hearing)
  - Whether any witnesses can attend by alternative means (e.g. video call)
  - a copy of any relevant documents which will be relied on by either party at the disciplinary hearing;
  - In cases where this would apply, the identity of the reporting student, other witnesses or other attendees at the Hearing. In limited circumstances (e.g. a risk of harm to the reporting student /witness) a reporting student/witness's identity may be kept confidential unless to do so would prejudice the fairness of the proceedings;
  - The Student's right to be accompanied to the Hearing, normally by a friend or by a relevant member of the Student's Union who will be expected to silently observe the process. No representation is permitted unless there is a good and justified reason for the student to be represented i.e. as a reasonable adjustment. The Chair of the Board of Discipline will have sole discretion to make a decision on this and
  - The Student's right to request to submit and/or present any evidence before or at the Hearing.
59. If the Student is unable to attend the Board of Discipline hearing date, then they should inform the Chair of the Board of Discipline immediately providing reasons why they cannot attend and an alternative hearing date will be provided. The Student must make every effort to attend the hearing, and failure to attend without good reason may be treated as a disciplinary offence in itself. If the student fails to attend without good reason, or is unable to

do so on two occasions, then the Board of Discipline reserves the right to proceed with all the available evidence and then make a decision on the case. The Chair of the Board of Discipline shall decide in their discretion what constitutes "good reason."

60. Where a student requests an adjournment of a Board hearing the decision whether to agree to the request is a matter for the Chair, advised by the Clerk. When deciding whether to agree to a student's request to adjourn a Board hearing the Chair will take into consideration the following:

- the grounds advanced by the Student for requesting the adjournment
- any unfairness to the Student or other witnesses if the hearing is or is not adjourned
- the consequences for the School/Board of rearranging the hearing, possibly with another Board and consideration of any delay that may cause.

Where the Board needs to adjourn the hearing for good reason it will inform all relevant parties as soon as possible and set a new date for the adjourned Board of Discipline Hearing. If as a result, there is a change in membership of the Board, then the Clerk will contact the Student to inform them of the new membership of the Board.

61. Following the Hearing, the Board of Discipline will make its decision by majority vote. It must decide:

- Whether a disciplinary offence has been committed; and if so;
- An appropriate penalty.

62. The range of penalties that a Board of Discipline may put in place include, but are not limited to:

- 62.1 Issue a formal warning to be noted on the student's file for the duration of their registration at the School and any future proven misconduct will take such warning into account;
- 62.2 Require the Student to make a formal apology;
- 62.3 Require the Student to take appropriate training;
- 62.4 A fine;
- 62.5 A requirement to make good the cost in whole or in part of any damage caused and/or repay/make good any financial loss suffered by a party(ies) or the School;
- 62.6 An order of Service to the School for a specified period to be determined by the Board of Discipline;
- 62.7 Exclusion from the whole School or defined areas and/or facilities of the School including Halls of Residence for a specific period of time;
- 62.8 Suspension from their studies, events and/or activities for a fixed period of time;
- 62.9 Imposing conditions on a student's access to facilities if the student has been convicted of a criminal conviction where such conditions are deemed necessary for the safety and security of members of the School;
- 62.10 Expulsion from the School.

63. The Board of Discipline will take into consideration the Table set out in Appendix C when making its decision and will convey its decision and the reason/s for it, in writing to the Student within ten (10) working days (and within five (5) working days for summer school students or LSE Executive Education Programme participants) and to relevant member/s of staff or student/s of the School who have been directly involved in the case where they consider it is reasonable and appropriate to do so. It will also inform any other member of staff or student or the Students' Union where it considers they have a relevant interest in the case. It will not normally disclose its decision to people who are not members of staff or students of the School.

64. The Student will be informed of their right to appeal to a member of the School's Management Committee.

### **Appeal**

65. An Appeal against the Secretary's or Board of Discipline's decision must be made using the Appeal Form set out at Appendix B, no later than ten (10) working days (three (3) working days for Summer School students or LSE Executive Education Programme student participants) from the date of the Secretary's or Board of Discipline's written decision. If an appeal is received after the deadline for submitting an appeal/requests an extension, then the student will be asked to provide good reasons why the appeal is late/need for an extension. A decision of the validity of the reason provided will be made by the relevant member of the School's Management Committee. If the reason provided is considered not a good reason, the appeal will not be considered and the student will be given a Completion of Procedures Letter. If no appeal is lodged, then the School will close the matter and notify the student in writing. A Completion of Procedures letter will be issued to the student on their request.

66. An Appeal must normally be made on one or more of the following grounds:

- 66.1 A significant procedural flaw or irregularity that compromised the fairness of the process;
- 66.2 New material evidence, which must be supported by an explanation of why it is being submitted at this late stage; and
- 66.3 An outcome being unreasonable or disproportionate.
- 66.4 That there is bias or a reasonable perception of bias during the procedure

67. The member of the School's Management Committee will do a paper based review of the decision. For the

avoidance of doubt, an appeal may be automatically dismissed if it is not made in accordance with the grounds set out in Section 66 of this Procedure.

68. The member of the School's Management Committee will normally complete their review within twenty-one (21) working days of receiving the Appeal. In determining an appeal of a decision by the Secretary or Board of Discipline, they may confirm, amend or overturn the outcome imposed by the Secretary or Board of Discipline. The member of the School's Management Committee may refer the case back to the formal stage for reconsideration or request a re-hearing of the case (if the case had been considered by a Board of Discipline). They will convey their decision in writing in a Completion of Procedures Letter.
69. The Completion of Procedures Letter will contain the decision and the reasons for it. The letter will also confirm any course of action or penalty, which may differ to the outcome of the original investigation.

**Office of the Independent Adjudicator for Higher Education**

70. The Completion of Procedures Letter will inform the student of their right to submit a complaint to the Office of the Independent Adjudicator for Higher Education ("the OIA"). The Complaint will need to be submitted to the OIA within 12 months of the date of the Completion of Procedures letter.



## APPENDIX A: ALLEGED MISCONDUCT FORM

### ALLEGED MISCONDUCT FORM

<b>Student ID</b>	
<b>Family Name</b>	
<b>Given Name</b>	
<b>Address/Email</b>	
<b>Telephone</b>	
<b>Date of incident</b>	
<b>Type of Misconduct</b> (when completing this please choose from one or more of the categories of misconduct found at section 24/Appendix C of this Procedure and/or add the specific misconduct as defined in the Discrimination, Harassment and Bullying procedure (where it relates to Discrimination, Harassment and Bullying) or the Sexual Harassment and Sexual Violence Policy (where it relates to Sexual Harassment and Sexual Violence) or in any other relevant policy,	
<b>Summary of alleged misconduct</b> [This should include what the incident is that is referred to, where the incident happened, the parties involved, the basis of the alleged misconduct and, where appropriate, the outcome sought.]	

Signed:

Dated:

## APPENDIX B: APPEAL FORM

### APPEAL AGAINST THE DECISION OR OUTCOME OF A DISCIPLINARY INVESTIGATION

<b>Student ID</b>	
<b>Family name</b>	
<b>Given Name</b>	
<b>Address/Email</b>	
<b>Telephone</b>	
<b>Date of incident</b>	
<b>Date decision was received</b>	
<b>Summary of grounds for Appeal</b> [This should include what is being challenged (e.g. the decision or measures put in place as a result of the decision). This should also set out the grounds for the appeal (e.g. procedural error in the formal investigation or new evidence). You should also include a copy of the Secretary/Board of Discipline's decision and any relevant evidence (e.g. emails or medical report/s), as well as explain why any new evidence is being presented at this late stage of the procedure.]	

Signed:

Date:

## APPENDIX C: TABLE OF TYPES OF MISCONDUCT AND POSSIBLE PENALTIES

PLEASE NOTE: The following table sets out examples of misconduct which may fall under the various types of misconduct outlined under section 24 of this procedure and the corresponding penalties which are non-exhaustive. The possible penalties that may be applied if a specific misconduct occurs is illustrative only i.e. there will be cases where certain behaviours which would usually be considered major breaches of discipline are minor and will require a less serious penalty and vice versa. In addition, several types of misconduct may apply to a same example.

TYPES OF MISCONDUCT	POSSIBLE PENALTIES
<p><b>Physical Misconduct/Violence and Anti-social behaviour:</b> Usually this would fall within one or more misconduct types found at Section 24.4, 24.7 and 24.11 of this Procedure.</p> <p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Punching</li> <li>• Slapping</li> <li>• Biting</li> <li>• Kicking</li> <li>• Pulling hair</li> <li>• Alcohol misuse related offences</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Pushing</li> <li>• Shoving</li> <li>• Kicking</li> <li>• Pulling hair</li> <li>• Alcohol misuse related offences</li> </ul>	<p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Expulsion</li> <li>• Suspension</li> <li>• Restrictions/Conditions placed on the Student</li> <li>• Formal written warning</li> <li>• Final written warning</li> <li>• Training</li> <li>• Formal written apology</li> <li>• Require the student to have no contact, or restricted contact, with a specified person or persons</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Formal verbal/written warning</li> <li>• Training</li> <li>• Formal written apology</li> <li>• Suspension/Exclusions/Restrictions/</li> <li>• Conditions placed on student</li> </ul>
<p><b>Sexual Misconduct:</b> Usually this would fall within one or more misconduct types found at Sections 24.6, 24.11 of this Procedure.</p> <p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Sexual intercourse or engaging in a sexual act without consent;</li> <li>• Domestic abuse</li> <li>• Attempting to engage in sexual intercourse or engaging in a sexual act without consent;</li> <li>• Sharing (including on social media) private sexual materials of another person without consent;</li> <li>• Kissing without consent;</li> <li>• Touching inappropriately through clothes without consent;</li> <li>• Showing sexual organs to another individual;</li> <li>• Stalking another individual</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Making unwanted remarks of a sexual nature;</li> </ul>	<p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Expulsion</li> <li>• Suspension/Exclusion</li> <li>• Expulsion</li> <li>• Suspension/exclusion</li> <li>• Restrictions/Conditions placed on the Student</li> <li>• Require the student to have no contact, or restricted contact, with a specified person or persons</li> <li>• Formal written warning</li> <li>• Verbal warning</li> <li>• Training</li> <li>• Formal written apology</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Formal verbal/written warning</li> <li>• Training</li> <li>• Formal written apology</li> <li>• Suspension/Exclusions/Restrictions/Conditions placed on student</li> </ul>

<p><b>Harassment and Bullying Behaviour:</b> Usually, this would fall within one or more misconduct types found at Sections 24.4, 24.6, 24.11 of this Procedure.</p> <p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Abusive comments relating to an individual's sex, sexual orientation, religion or belief, race, pregnancy/maternity, marriage/civil partnership, gender reassignment, disability or age made in person or via social media;</li> <li>• Threats to hurt another person;</li> </ul> <p>Acting in an intimidating and hostile manner;</p> <ul style="list-style-type: none"> <li>• Stalking another individual/group of individuals;</li> <li>• Hate incident/crime.</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Use of inappropriate language/abusive comments made in person or via social media;</li> <li>• Repeatedly contacting another person (by phone, email, text or on social networking sites) against the wishes of the other person;</li> <li>• Acting in an intimidating and hostile manner;</li> <li>• Making a threat to another individual;</li> <li>• Stalking another individual/group of individuals.</li> </ul>	<p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Expulsion</li> <li>• Suspension</li> <li>• Training</li> <li>• Formal written warning</li> <li>• Final written warning</li> <li>• Formal written apology</li> <li>• Restrictions/Conditions placed on the Student</li> <li>• Require the student to have no contact, or restricted contact, with a specified person or persons</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Formal verbal/written warning</li> <li>• Final written warning</li> <li>• Training</li> <li>• Formal written apology</li> <li>• Restrictions/Conditions placed on student</li> </ul>
<p><b>Damage to Property:</b> Usually, this would fall within one or more misconduct types found at Section 24.7, 24.11 of this Procedure.</p> <p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Causing significant damage to the School property or the property of other students, employees and/or visitor of the School.</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Causing minor damage to the School property, the property of other students, employees and/or visitor of the School</li> </ul>	<p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Expulsion</li> <li>• Suspension</li> <li>• Restrictions/Conditions placed on the Student</li> <li>• Training</li> <li>• Formal written warning</li> <li>• Final written warning</li> <li>• Formal written apology</li> <li>• Restitution to the parties affected by this misconduct</li> <li>• A fine</li> <li>• A requirement to make good the cost in whole or in part of any damage caused and/or repay/make good any financial loss to the School</li> <li>• An order of Service to the School for a specified period</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Formal verbal/written warning</li> <li>• Final written warning</li> <li>• Training</li> <li>• Fine</li> <li>• Formal written apology</li> <li>• Suspension/Exclusion/Restrictions/Conditions placed on student</li> </ul>

<p><b>Unauthorised Use of taking of Property</b> Usually, this would fall within one or more misconduct types found at Sections 24.12, 24.13 and 24.14 of this Procedure.</p> <p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Unauthorised entry onto or unauthorised use of School Premises. This includes Halls of Residences;</li> <li>• Taking property belonging to the School, another student, employee of the School and/or visitor of the School without permission;</li> <li>• Misuse of School property including computer equipment;</li> <li>• Internet access abuse, such as visiting inappropriate websites, uploading/downloading inappropriate content, propagation of computer viruses.</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Misuse of School property including computer equipment;</li> <li>• Unauthorised entry onto or unauthorised use of School Premises. This includes Halls of Residences;</li> <li>• Using the School's name, address or trademarks without the Permission of the School.</li> </ul>	<p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Expulsion</li> <li>• Suspension/Exclusion</li> <li>• Restrictions/Conditions placed on the student</li> <li>• Restitution to the parties affected by this misconduct</li> <li>• Formal written Apology</li> <li>• Formal written warning</li> <li>• Verbal warning</li> <li>• Training</li> <li>• Fine</li> <li>• Requirement to return property in the same condition it was taken repay/make good any financial loss to the School</li> <li>• An order of Service to the School for a specified period</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Formal verbal/written warning</li> <li>• Training</li> <li>• Formal written apology</li> <li>• Suspension/Exclusion/Restrictions/Conditions imposed on student</li> </ul>
<p><b>Causing a Health or Safety Concern/possession and use of illegal substances and/or items</b> Usually, this would fall within one or more misconduct types found at Sections 24.4 and 24.8 of this Procedure.</p> <p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Act/omission that did cause or could have caused serious harm on the School Premises or during School activities (outside of School Premises);</li> <li>• Setting off fire alarms or obstructing access to buildings or rooms;</li> <li>• Drug offences contrary to the Misuse of Drugs Act 1971 and the School's Student Alcohol and Drugs Policy-use, possession and/or supplying, dealing/distributing drugs; More specifically the following:             <ol style="list-style-type: none"> <li>a. Supply or possession of a controlled drug</li> <li>b. Supply or repeated possession of a psychoactive substance</li> <li>c. Production of a controlled drug or psychoactive substance</li> <li>d. misuse of controlled substances and where the prescription medicines have not been prescribed for the person possessing or using them and/or such prescription medicines which are not taken in accordance with an appropriate practitioner's (as defined under UK Law) direction.</li> <li>e. Possession of a Class A controlled drug</li> <li>f. Possession/repeated possession of a Class B or C controlled drug or psychoactive substance</li> </ol> </li> </ul>	<p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Expulsion</li> <li>• Suspension/Exclusion</li> <li>• Restrictions/Conditions placed on the student</li> <li>• Training</li> <li>• Formal written warning</li> <li>• Verbal warning</li> <li>• Fine</li> <li>• Formal written apology</li> <li>• An Order of Service for a specified period</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Formal verbal/written warning</li> <li>• Training</li> <li>• Fine</li> <li>• Formal written apology</li> <li>• Suspension/Exclusion/Restrictions/Conditions imposed on student</li> </ul>

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|---|--|
| <ul style="list-style-type: none"><li>• Failure to declare a criminal investigation, conviction, charge or caution related to alcohol or drug use</li><li>• Anti-social behaviour resulting from drug or alcohol misuse</li><li>• Being in possession and use of illegal items on School Premises (including in halls of residence) or during School activities/events;</li><li>• Third occurrence of refusing to comply with a health and safety requirement (which includes but is not limited to those relating to illnesses/contagious diseases/ epidemics/pandemics) or instruction as set out by the School, which includes but is not limited to not wearing a mask (save for those individuals who can show that they are exempt from wearing a mask), in all indoor LSE premises (including but not limited to classrooms, departments, workplaces, places of worship, dining facilities (unless eating), shared spaces in residential halls) and at indoor events, not observing appropriate physical distancing of at least two metres where possible in all LSE Premises or as set out by the School (this includes respecting and complying with signs set out on School Premises in relation to this) and refusing to comply with any other instruction provided by the School regarding conduct and expected behaviour in relation to requirements following changes in government guidelines/ legislation;</li><li>• Second occurrence of hosting a gathering/Party in Accommodation with more than the permitted amount of people attending/ attending such a gathering or Party contrary to health and safety requirements/current guidelines on group socialising as issued by the U.K government;</li><li>• Second occurrence of breaching the requirements of observing self –isolation and the quarantine period;</li><li>• Not taking appropriate and swift steps, as required, in dealing with (and informing relevant members of the School) of any suspected illness/contagious disease symptoms and thus potentially putting others at risk.</li></ul> |  |
|---|--|

**Minor:**

- Act/omission that did cause or could have caused a health and safety concern on School premises or during School activities (outside of the School Premises);
- Failure to declare a criminal investigation, conviction, charge or caution related to alcohol or drug use
- Anti-social behaviour resulting from drug or alcohol misuse
- Setting off fire alarms or obstructing access to buildings or rooms;
- First or Second occurrence of refusing to comply with a Health and safety (including that relating to any epidemic/pandemic) requirement or instruction as set out by the School which includes but is not limited to not wearing a mask (save for those individuals who can show that they are exempt from wearing a mask), in all indoor LSE premises (including but not limited to classrooms, departments, workplaces, places of worship, dining facilities (unless eating), shared spaces in residential halls) and at indoor events, not observing appropriate physical distancing requirements of at least two metres where possible in all LSE premises or as set out by the School (this includes respecting and complying with signs set out on School Premises in relation to this) and refusing to comply with any other instruction provided by the School regarding conduct and expected behaviour in relation to arising requirements following changes in government guidelines/legislation;
- Hosting a gathering or Party in Accommodation with more than the permitted amount of people attending/ Attending such a gathering or Party contrary to requirements provided by the School/ current guidelines on group socialising as issued by the U.K. government;
- First occurrence of breaching the requirements of observing self –isolation and the quarantine period;
- Not taking appropriate and swift steps, as required, in dealing with (and informing the School of) any suspected contagious disease/illness symptoms and thus potentially putting others at risk.



**Operational Obstruction**

Usually this would fall within one or more misconduct types found at Sections 24.1, 24.2, 24.3 24.4, 24.5, 24.6, 24.10, 24.11, 24.15 and 24.16, 24.17 of this Procedure.

**Major:**

- Acts/omissions/statements intended to deceive the School. Committing fraud.
- Submitting or relying on forged, falsified or fraudulent documentation and other forms of deception that are intended to gain an advantage for example submitting fraudulent, mitigating circumstances/ claims or falsifying evidence in support of mitigating circumstances claims.
- Disruption of the activities of the School (including academic, administrative, sporting and social) on School Premises or elsewhere
- Disruption of the functions, duties or activities of any other student, employee or visitor of the School
- Breach of the relevant data protection legislation
- Breach one or more of the School's terms or conditions, policies or procedures, or rules and regulations
- Third occurrence of refusing to comply with a Health and Safety (including that relating to epidemics/ pandemics) requirement or instruction as set out by the School, which includes but is not limited to not wearing a mask (save for those individuals who can show that they are exempt from wearing a mask), in all indoor LSE premises (including but not limited to classrooms, departments, workplaces, places of worship, dining facilities (unless eating), shared spaces in residential halls) and at indoor events, not observing appropriate physical distancing of at least two metres where possible in all LSE Premises or as set out by the School (this includes respecting and complying with signs set out on School Premises in relation to this) and refusing to comply with any other instruction provided by the School regarding conduct and expected behaviour in relation to arising requirements;
- Second occurrence of hosting a gathering/Party in Accommodation with more than the permitted amount of people attending/ attending such a gathering or Party contrary to School requirements/ current guidelines on group socialising as issued by the U.K government;

**Major:**

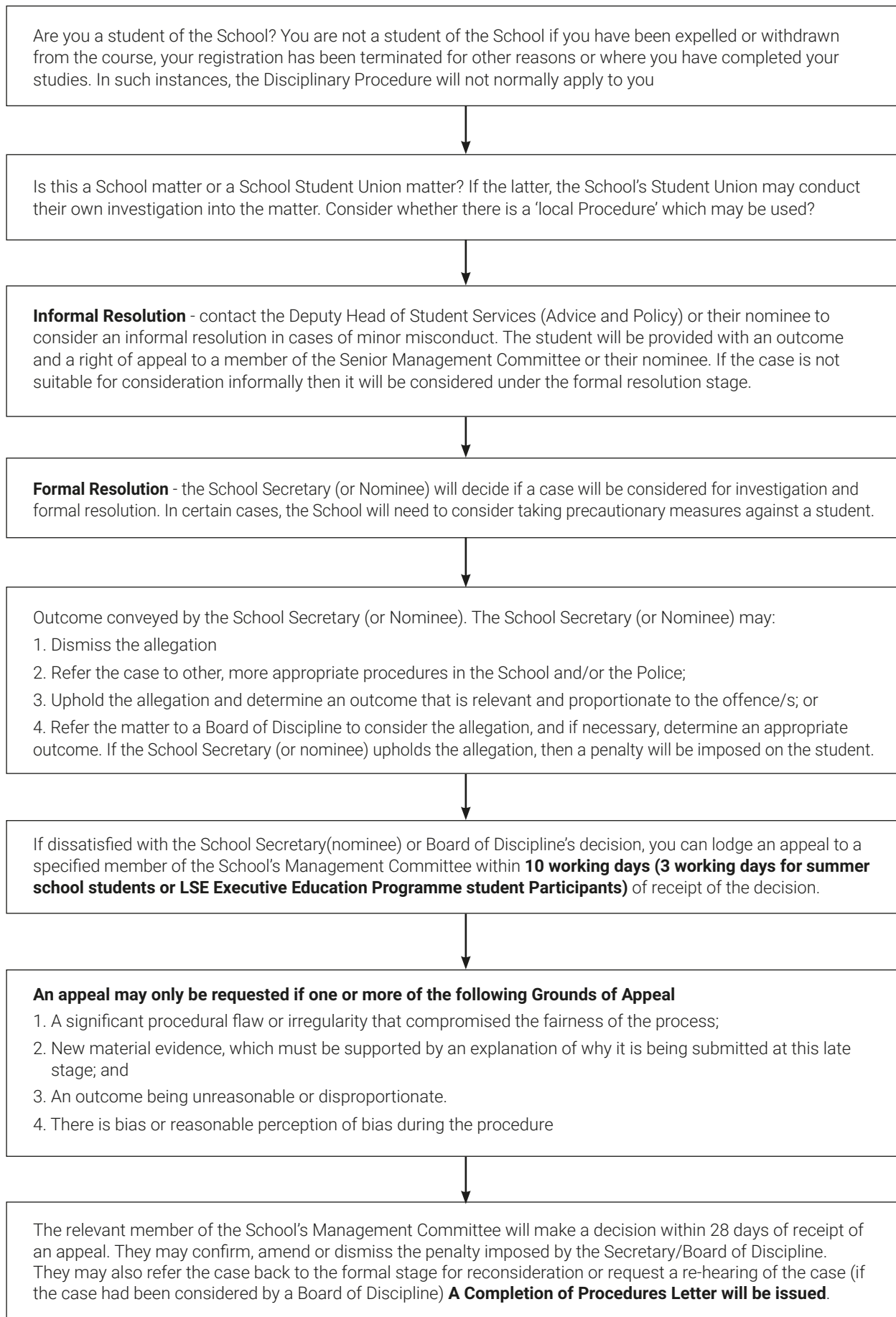
- Expulsion
- Suspension/Exclusion
- Restrictions/Conditions placed on the Student
- Restitution to the parties affected by this misconduct
- Training
- Formal written warning
- Verbal warning
- Formal written Apology
- An Order of Service to the School for a specified period

**Minor:**

- Formal verbal/written warning
- Training
- Fine
- Formal written apology
- Suspension/Exclusions/Restrictions/Conditions placed on student

<ul style="list-style-type: none"> <li>• Second occurrence of breaching the requirements of observing self –isolation and the quarantine period;</li> <li>• Not taking appropriate and swift steps, as required, in dealing with (and informing relevant members of the School) of any suspected illness/disease symptoms and thus potentially putting others at risk;</li> <li>• Dishonestly concealing symptoms or not complying with the requirement to self-quarantine (as notified by track and trace where applicable).</li> <li>• Spreading rumours or knowingly making false claims, via any kind of communication, that individuals have contracted contagious disease (such as Covid/any other illness).</li> </ul>	
<p><b>Reputational Damage</b> Usually this would fall under the misconduct types found at Sections 24.3, 24.5 and 24.9, 24.17 of this Procedure.</p> <p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Behaviour which has caused serious damage or could have caused serious damage to the reputation of the School</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Behaviour which has damaged or could have damaged the reputation of the School</li> </ul>	<p><b>Major:</b></p> <ul style="list-style-type: none"> <li>• Expulsion</li> <li>• Suspension/exclusion</li> <li>• Formal written warning</li> <li>• Fine</li> <li>• Training</li> <li>• Restrictions/Conditions placed on the Student</li> <li>• An order of Service to the School for a specified period</li> </ul> <p><b>Minor:</b></p> <ul style="list-style-type: none"> <li>• Formal verbal/written warning</li> <li>• Training</li> <li>• Formal written apology</li> <li>• Suspension/Exclusions/Restrictions/Conditions placed on student</li> </ul>

## APPENDIX D: DISCIPLINARY PROCEDURE FLOW CHART



## APPENDIX E – INTERNAL AND EXTERNAL CONTACTS AND SOURCES OF SUPPORT

### INTERNAL CONTACTS

You are encouraged to approach one of the following members of School staff if you have any queries relating to lodging a disciplinary matter with the School:

- The Deputy Head of Student Services (Advice and Policy), Dr Pete Evanson at: [p.evanson@lse.ac.uk](mailto:p.evanson@lse.ac.uk)
- The Adviser to Women Students, Dr Sarah Trotter at: [s.trotter@lse.ac.uk](mailto:s.trotter@lse.ac.uk)
- Head of Student Services, Martyn Annis at: [m.annis@lse.ac.uk](mailto:m.annis@lse.ac.uk)
- Deputy Head of Student Services (Wellbeing), Victoria Frost at: [v.l.frost@lse.ac.uk](mailto:v.l.frost@lse.ac.uk)
- Head of Security, Paul Thornbury at: [p.c.thornbury@lse.ac.uk](mailto:p.c.thornbury@lse.ac.uk)
- Head of Residential life at: [r.j.greenwood@lse.ac.uk](mailto:r.j.greenwood@lse.ac.uk)
- Anti-Harassment Support Advisor at: [l.d.boland@lse.ac.uk](mailto:l.d.boland@lse.ac.uk)
- Your Academic Adviser, Supervisor or Departmental Tutor
- The Warden of your hall of residence
- The Student Counselling Service at: [student.counselling@lse.ac.uk](mailto:student.counselling@lse.ac.uk)
- The School's Equity, Diversity and Inclusion Office at: [edi@lse.ac.uk](mailto:edi@lse.ac.uk)
- The Faith Centre at: [faithcentre@lse.ac.uk](mailto:faithcentre@lse.ac.uk)
- Student Services Centre at: [ssc.advice@lse.ac.uk](mailto:ssc.advice@lse.ac.uk)
- LSE Students' Union (LSESU) Advice Service at: [su.advice@lse.ac.uk](mailto:su.advice@lse.ac.uk)

You can also contact the Senior Legal Counsel, Refel Ismail at: [r.ismail@lse.ac.uk](mailto:r.ismail@lse.ac.uk), Head of the School's Legal Team, Kevin Haynes at: [k.j.haynes@lse.ac.uk](mailto:k.j.haynes@lse.ac.uk), or Legal Counsel, Mariachiara Valsecchi at [m.valsecchi1@lse.ac.uk](mailto:m.valsecchi1@lse.ac.uk) if you would like advice on this Procedure.

#### Counselling services

The School's Student Counselling Service offers a private and confidential space for Students to discuss anything which is impacting their psychological wellbeing and daily life. The service is staffed with trained counselling professionals, who offer one-to-one appointments and workshops which run throughout the year. Full information on this Service and how to access it is available on the School website: <https://info.lse.ac.uk/current-students/student-wellbeing/student-counselling/about-counselling>.

Students may also speak with a Mental Health Advisor through the School DWS (<https://info.lse.ac.uk/current-students/student-wellbeing/disability-wellbeing/speak-with-an-adviser>).

In addition to counselling and mental health adviser support, there is also support available through the School Peer Supporters. Peer Supporters are trained student volunteers who can offer support, give a fresh perspective and listen to whatever is troubling a student, from academic stresses to relationships. Students can explore the following page (<https://info.lse.ac.uk/current-students/student-wellbeing/students-supporting-students/peer-support-scheme>) to learn more about how Peer Support could help them, and how to contact a Peer Supporter.

#### Anti-Harassment Support Advisor

The Anti-Harassment Support Advisor can support with providing advice on reporting at LSE, what the process entails and can provide advice on how to report to the police. They can also support you with accessing support services internally at LSE or externally or talking through what you have been subjected to. You can also speak anonymously with the Anti-Harassment Support Advisor to talk through your options or just to have a safe space to share your experiences. They aim to reply to you within 1 to 2 days.

#### Safe Contacts

The School has a network of Safe Contacts. **LSE Safe Contacts** are members of LSE staff who have received training and can offer a confidential 'signposting' service for staff and students who have previously or are currently experiencing some form of bullying, harassment or sexual violence.

The Safe Contacts are all volunteers, who are supported by the EDI office and who are committed to supporting LSE's inclusive working, studying and social environment. These safe contacts have received sexual violence training. There are two ways you can speak with a Safe Contact:

1. You can contact Equity, Diversity and Inclusion via email ([edi@lse.ac.uk](mailto:edi@lse.ac.uk)) or by phone (020 7106 1229 or +447971552755)
2. You can reach out to a Safe Contact directly via their contact details [www.lse.ac.uk/safecontacts](http://www.lse.ac.uk/safecontacts)

### Report It Stop It

Bullying and harassment can also be reported using LSE's dedicated online form. The report will be treated confidentially and followed up promptly and fairly.

### LSESU Contacts:

The Students' Union has Sabbatical Officers, Part-time Officers and an Advice Team who will listen to you, represent your views on these issues and liaise with the School to tackle inappropriate behaviour.

- Sabbatical and Part-Time Officers, a list of whom can be found at: <http://www.lsesu.com/democracy/student-reps/>.
- LSESU Advice Team, which can be contacted at [su.advice@lse.ac.uk](mailto:su.advice@lse.ac.uk). You can find more information at <http://www.lsesu.com/advice/>.

## EXTERNAL CONTACTS

Students can also access a 24/7 out of hours mental health support line sponsored by the School via SpectrumLife. All calls are answered by clinically trained counsellors or psychotherapists. Students can talk to them about anything, including stress, anxiety, low mood, financial worries, loss and grief, relationship problems, and substance abuse issues.

### General

- **Ask the Police**
- **Citizens Advice Bureau** (rights and responsibilities)
- **Crimestoppers** (reporting crime)
- **Equality Advisory and Support Service**
- **Metropolitan Police**
- **NHS 111** (non-emergency service)
- **Nightline** open every night from 6pm to 8am during term time
- **Samaritans** (08457 909090 / 020 7734 2800), 116 123, email: [jo@samaritans.org](mailto:jo@samaritans.org)
- **Stop Hate UK** (all forms of hate crime and discrimination)
- **Victim Support** (victims of crime)
- **National Stalking Helpline** (support for anyone experiencing stalking)

### Sexual and female related

- **National Domestic Abuse Helpline**: Women and children: 0808 2000 247
- **Rape Crisis** (rape and sexual abuse)
- **Solace Women's Aid** (0808 802 5565 / [advice@solacewomensaid.org](mailto:advice@solacewomensaid.org))
- **Women's Aid**
- **Refuge** (support for women and children who have experienced domestic abuse)
- **The Havens** (London-based support for survivors of recent rapes/sexual assaults for all genders)
- **NAPAC** (support for survivors of childhood sexual abuse for all genders)
- **Rights of Women** (free and confidential legal advice for women)

### Men related

- **National Domestic Abuse Helpline**: 0808 801 0327
- **Survivors UK** (male victims of rape and sexual abuse)
- **Mankind** (support for men who have been sexually abused)
- **Men's advice line** (support for men experiencing domestic violence)
- **The Havens** (London-based support for survivors of recent rapes/sexual assaults for all genders)
- **NAPAC** (support for survivors of childhood sexual abuse for all genders)

### Race related

- **Ashiana** (Asian women's refuge)
- **The Monitoring Group** (racial harassment and abuse)
- **Southall Black Sisters** (BME women's rights and advice)
- **Imkaan** (provides full list of organisations supporting BAME women survivors of sexual and domestic violence)

**LGBT related**

- **Galop** (LGBT+ anti-violence charity)
- **Switchboard** (LGBT+ helpline)
- **TransUnite** (find a trans support group near you)

**Disability related**

- **Mencap** (the voice of learning disability)
- **Mind** (mental health)
- **Respond** (support for children and adults with learning disabilities who have experienced abuse and/or trauma for all genders)
- **DeafHope** (support for Deaf people experiencing domestic abuse)
- **Stay Safe East** (supporting Deaf and disabled survivors of hate crime, domestic and sexual abuse in Waltham Forest and Newnham areas of London only)

**Religious and belief related**

- **Karma Nirvana** (supporting victims of honour-based abuse and forced marriage)
- **Forced Marriage** 020 7008 0151 (emergencies)
- **Muslim Women's Network** (support for Muslim women experiencing or at risk of abuse)

**Hate Crime**

- **True Vision** (all hate crimes)
- **Tell Mama** (anti-Muslim hate crime)
- **Community Security Trust** (anti-Semitic hate crime)

**Drugs**

- **Drugs and Me** The Home of Harm Reduction
- **Know the score** Find Out About Drugs - Know the Score
- **Talk to Frank**
- **NHS Drug Addiction** Getting help
- **Drugwise**
- **The Mix** essential support for under 25's
- **Alcohol Change UK** Alcohol harms. Time for change. | Alcohol Change UK
- **NHS Alcohol Support**
- **Drinkaware**

**Review schedule:**

Review interval	Next review due by	Next review start
3 years	01/05/2023	01/04/2023

**Version history:**

Version	Date	Approved by	Notes
3	17/03/2020	SMC -	

**Links:**

Reference	Link
Student Complaints procedure	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/comPro.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/comPro.pdf</a>
The Discrimination, Harassment and Bullying Policy	<a href="https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/harPol.pdf">https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/harPol.pdf</a>
Sexual Harassment and Sexual Violence Policy	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/harVioPol.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/harVioPol.pdf</a>
Student Drugs and Alcohol Policy	<a href="https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/conOfUseOfITFacAtLSE.pdf">Student drugs and alcohol policy (lse.ac.uk)</a>
School's Conditions of Use of IT facilities	<a href="https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/conOfUseOfITFacAtLSE.pdf">https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/conOfUseOfITFacAtLSE.pdf</a>

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**Communications and Training:**

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Training will be required for all those involved at various stages of the disciplinary process. This is to include unconscious bias training.



# THE DISCRIMINATION, HARASSMENT AND BULLYING POLICY

## 1. Policy Statement

- 1.1 The School is committed to a working and learning environment where people can achieve their full potential free from any form of discrimination, harassment or bullying and is committed to providing an inclusive culture of equality, diversity and respect between individuals.
- 1.2 This Policy outlines the School's vision in creating and maintaining a healthy environment where its members are confident that any complaints raised by them in relation to any form of discrimination, harassment and bullying will be dealt with fairly, diligently and promptly. It is also committed to providing a supportive culture which encourages the reporting of such incidents/behaviour and early intervention.
- 1.3 The School recognises the need to challenge any tacit or explicit acceptance of discrimination, harassment or bullying in order to prevent escalation and is therefore dedicated to focusing on initiatives that will work to prevent such unacceptable behaviour arising. This includes working to improve the understanding of discrimination, harassment and bullying across the School's community to prevent future such behaviour from occurring as well as taking steps to understand the nature and extent of discrimination, harassment and bullying experienced by members of the LSE community on its premises that goes unreported.
- 1.4 Appropriate steps will be taken to deal with behaviour, intentional or unintentional, that results in a breach of this Policy and the School's procedures make provision for the investigation of allegations made and for disciplinary action to be taken where allegations are upheld.
- 1.5 The School is also committed to protecting and promoting freedom of speech within the law and as such this Discrimination, Harassment and Bullying Policy operates in accordance with the School's Code of Practice on Free Speech. There are instances where free speech may be limited by law where it is necessary to prevent crime, for national security purposes, public safety or to prevent unlawful discrimination and harassment. The School's Code of Practice on free speech can be found at: <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/Code-of-Practice-on-Free-Speech.pdf>
- 1.6 For the purposes of this Policy, references to 'the LSE community' includes but is not limited to all salaried and non-salaried members of staff (including visiting staff), students and members of council and other members of the School including all those individuals authorised to be on School Premises for the purposes of work or study.

## 2. Scope of this Policy

- 2.1 The School will not tolerate any form of discrimination, harassment or bullying within its community or against its members, including but not limited to that which takes place beyond the physical premises and normal business hours of the School, such as conduct at School events, social events related to work or studies, trips abroad and/or on social media. For the avoidance of doubt, this Policy will apply to any such behaviour arising abroad and in relation to the School's overseas activities.
- 2.2 This Policy applies to any behaviour as set out in this Policy perpetrated by students, members of staff, members of council against other students, members of staff, members of Council. It also applies to behaviour committed against any other third party (including but not limited to contractors, alumni, visitors, job/student applicants) where it occurs on premises and/or where third party contact is made in relation to work/study purposes.  

The above list is not exhaustive and may also include unacceptable behaviour being perpetrated by any other party who is required by the School to abide by this Policy. The School will also take reasonable steps to prevent any third party harassment (e.g. from a visitor, supplier, member of the public) that may occur against a member of the LSE Community.

For the avoidance of doubt, behaviour that may constitute direct discrimination, indirect discrimination and discrimination arising from a disability would normally only be considered as being carried out by the Employer/Provider (the School), a member of staff or a member of Council.
- 2.3 The School may also consider third party allegations and/or historic allegations of discrimination, harassment and victimisation against a member of the LSE Community that is raised formally with it and where the School assesses that there may be a continued risk to other members of the LSE community. Where possible, reasonable attempts will be made to obtain relevant information to determine an appropriate response.
- 2.4 The School's Sexual Harassment and Sexual Violence Policy is intended to cover instances of harassment and/or violence of a sexual nature. In the event of a conflict between this discrimination, harassment and bullying policy and the Sexual Harassment and Sexual Violence Policy, the terms of the latter policy will prevail.
- 2.5 This Policy consists of and includes an:
  - Appendix 1 which provides examples on the various types of discrimination, harassment, bullying and victimisation amongst other forms of unacceptable behaviour defined under this Policy;

- Appendix 2 which outlines Internal and external contacts and Sources of Support and;
- Appendix 3 which sets out the legislation.

### 3. Responsibility of the LSE Community

- 3.1 All members of the LSE community should help to:
- prevent discrimination, harassment and bullying by being sensitive to the reactions and needs of others, and ensuring that their conduct does not cause offence;
  - discourage discrimination, harassment and bullying by others by making it clear that such conduct is unacceptable, and supporting colleagues and peers who are taking steps to stop it;
  - Understand what constitutes discrimination, harassment and bullying by attending training sessions and/or seeking advice from the School's central administration.
- 3.2 The School is responsible for:
- taking reasonable steps to eliminate discrimination, bullying and harassment as well as to actively promote equality to provide a collegiate and harmonious working environment;
  - taking appropriate action and early intervention when it is aware that discrimination, harassment and bullying may be or is taking place;
  - Implementing training of members of staff in relation to discrimination, harassment and bullying
  - raising awareness to help members of the LSE Community identify and deal with discrimination, harassment and bullying.
- 3.3 All line managers and others with positions of responsibility have an additional obligation to ensure that this Policy is implemented, to promote equality, an inclusive and non-discriminatory environment, and to tackle swiftly and fairly any discrimination, harassment and bullying that is reported to them.
- 3.4 Unacceptable behaviour as outlined in this Policy is not necessarily confined to the behaviour of senior staff towards more junior staff, or indeed staff towards students; it can take place between individuals at the same level or involve staff or students behaving inappropriately towards more senior members of the School.
- 3.5 Members of the LSE community may be personally liable for their actions, which in some instances could lead to criminal or civil action in the Courts under the Protection from Harassment Act 1997, Crime and Disorder Act 1998 and The Equality Act 2010 or any other relevant legislation.

### 4. Definitions

For the purposes of this Policy the following definitions apply:

#### Discrimination

- 4.1 **Discrimination** is defined under The Equality Act 2010 and takes place when an individual or a group of people are treated less favourably than others based on a protected characteristic such as age, disability, gender reassignment, pregnancy and maternity (including treating a woman unfavourably because she is breastfeeding), race (including colour, nationality, ethnic and national origin), religion or belief, sex or sexual orientation and in relation to direct discrimination only, marriage and civil partnership. Discrimination includes the following categories; direct discrimination (which includes discrimination by association and perception), indirect discrimination and discrimination arising out of a disability.
- 4.2 **Direct discrimination** occurs where an individual is treated less favourably because of one of the protected characteristic(s). In order for someone to show that they have been directly discriminated against, they must compare what has happened to them to the treatment a person without their protected characteristic is receiving or has received. If there is no comparator, it can still be considered direct discrimination if an individual can show that another individual who did not have their protected characteristic would have been treated better in similar circumstances.
- 4.3 **Discrimination by association** (other than pregnancy and maternity) refers to a situation where an individual is discriminated against because of the protected characteristic of another individual(s), with whom they are associated.
- 4.4 **Discrimination by perception** (other than pregnancy and maternity) is discrimination against an individual because he or she is wrongly perceived to have a certain protected characteristic.
- 4.5 In relation to pregnancy and maternity, it is discriminatory to treat an individual (including a student) unfavourably because of their pregnancy and any related illness or because an individual is seeking to take, taking or taken maternity leave/pay during what is known as 'the protected period.' This protected period begins from the start of pregnancy and ends when maternity leave ends or an individual returns to work after giving birth. If an individual is not an employee or worker, the protected period ends two weeks after a child is born.
- 4.6 **Indirect discrimination** occurs where an individual is disadvantaged by an unjustified provision, criterion or practice that puts an individual with a particular protected characteristic at a disadvantage compared with others who do not share that characteristic. Any individual claiming indirect discrimination must be

able to show that they have been disadvantaged personally or that they will be disadvantaged and it cannot be shown that there is a good reason for applying that specific provision, criterion or practice. For the avoidance of doubt, a provision, criterion or practice can include but is not limited to School policies, ways in which access to any benefit, service or facility is provided and one off decisions.

- 4.7 Another category of discrimination is **discrimination arising out of a disability** which occurs when a disabled individual is treated unfavourably because of something connected with their disability and there is no justification for this treatment. The Equality Act 2010 protects a person from being treated badly because of something connected to their disability, such as needing time off for medical appointments. It will not apply if the individual alleged to have committed discrimination arising from disability did not know or could not have reasonably be expected to know that the individual making the allegation had a disability. In the Equality Act 2010, disability means a physical or a mental condition which has a substantial and long-term impact on an individual's ability to do normal day to day activities.

Discrimination arising from disability will occur if the following three conditions are met:

- A disabled individual is treated unfavourably, and are therefore at a disadvantage, even if this was not the intention, and
- this treatment is because of something connected with the disability (which could be the result, effect or outcome of that disability) and
- the treatment cannot be justified by showing that it is 'a proportionate means of achieving a legitimate aim'

It is not unlawful discrimination to treat a disabled person more favourably than a non-disabled person if they require it.

Under the Equality Act 2010, an employer has certain duties to make 'reasonable adjustments'. This is to ensure that a disabled person is not put at a substantial disadvantage by the employment/study arrangements or by any physical feature of the workplace or learning environment. There is a responsibility to make sure that disabled people can access jobs, education and services as easily as non-disabled people. This is known as the 'duty to make reasonable adjustments'. What is reasonable will depend on a number of factors.

#### **When discrimination may be lawful and the Occupational Requirement**

- 4.8 In some cases and as set out in the Equality Act, there may be an 'objective justification' for discrimination. If discrimination is found to be justified, then it will not be considered unlawful discrimination. The following types of discrimination may be justified in certain circumstances:

- indirect discrimination
- discrimination because of something connected to an individual's disability
- direct age discrimination

It would need to be shown that the discrimination was a proportionate means (appropriate and necessary) of achieving a legitimate aim. A legitimate aim is the reason behind the discriminatory behaviour. This can include but is not limited to:

- the health, safety and welfare of individuals
- running an efficient service
- requirements of a business

There may be other are situations where it is lawful for an employer to require a job to be done by someone with a particular characteristic, if having this characteristic is an occupational requirement for the job.

The Equality Act states all of the following things need to be shown for the discrimination to be lawful:

- the requirement is an occupational requirement and there must be a link between the requirement and the job
- the employer has a good business reason or a legitimate aim for applying the requirement and must be able to show it
- having the requirement is the best way to achieve the employer's aim, it must be proportionate

The occupational requirement exception only applies in relation to a decision about:

- recruitment -whether or not to offer a job
- access to training
- promotion or transfer to another job
- dismissals

#### **Harassment**

- 4.9 **Harassment** is defined in law as a course of unwanted conduct which can cause an individual alarm or distress and may put people in fear of violence. It can include repeated attempts to impose unwanted communications and contact upon another individual(s) in a manner that could be expected to cause distress or fear in any reasonable person.

- 4.10 Under the Equality Act 2010 individuals are protected from three types of harassment. Firstly, it is unlawful to treat someone less favourably where it relates to a 'relevant protected characteristic,' which for the purposes of harassment includes-age; disability; gender re-assignment; race; religion or belief, sex and sexual orientation. For the avoidance of doubt, pregnancy and maternity, marriage and civil partnership are not specifically included within the harassment provisions of the Equality Act 2010, although unwanted conduct related to these would be considered as harassment due to sex. In addition to this, an individual may put forward a case for harassment if they do not have the specific protected characteristic, but instead have a connection with the protected characteristic.
- 4.11 Another form of harassment is **Sexual Harassment** which occurs when you engage in unwanted conduct or behaviour which is of a sexual nature and which has the purpose of violating an individual's dignity or creating an intimidating, hostile, degrading or offensive environment. Examples of what may constitute Sexual Harassment are set out in Appendix 1 of this Policy. The School's Sexual Harassment and Sexual Violence Policy is intended to cover instances of harassment and/or violence of a sexual nature
- 4.12 Harassment may also occur when an individual is treated less favourably because they have rejected or submitted to unwanted conduct of a sexual nature or behaviour that is related to gender identity or sex.

### Victimisation

- 4.13 Victimisation means treating an individual unfavourably (subjecting them to a detriment) because they have done a protected act. A protected act can be:
- making a claim or complaint under the Equality Act (for example, for discrimination or harassment)/Public Interest Disclosure Act 1998
  - helping someone else to make a claim by giving evidence or information
  - making an allegation that someone has breached the Equality Act, or
  - doing anything else which may relate to the Equality Act
- Victimisation also means subjecting an individual to a detriment because it is believed they have done or are going to do a protected act; or giving evidence to support an individual complaining about a protected act; the individual does not actually need to have done the protected act.

### Bullying

- 4.14 Bullying is defined as intimidating, hostile, degrading, humiliating or offensive behaviour which has the purpose or effect of violating a person's dignity or creating an intimidating, hostile, degrading, or humiliating environment. Bullying usually involves a repeated course of conduct. Bullying does not need to relate to a protected characteristic.
- 4.15 It may be physical or psychological in nature and conducted in an open environment or a secretive manner. It is behaviour that is often repetitive and intended to dominate another person or group by making them feel degraded, humiliated, intimidated or offended. It can cause a person to lose respect and confidence.

### Stalking

- 4.16 Stalking is an offence under English law and is also considered a form of harassment and/or bullying, regardless of whether the perpetrator is known or a stranger to the victim. It is usually persistent and unwanted conduct. It can be physical or psychological and take place directly against a person, or by approaching a third party about a person. Following a person home, pestering them, sending or leaving them unwanted and repeated messages on their telephone or email, bullying them on social media or making intrusive or unwanted visits are examples of how stalking may take place.

### Hate Incidents, Hate Crime and Hate Speech

- 4.17 Hate crimes are any **crimes** that are **perceived** to be targeted at an individual because of hostility or prejudice towards that individual's: disability, race or ethnicity, religion or belief, sexual orientation, transgender identity.
- 4.18 A **hate incident** is behaviour which is not a crime but which is perceived by the victim, or anybody else, to be motivated by hostility or prejudice based on the 5 protected characteristics as mentioned in 4.17. When hate incidents become criminal offences they are known as hate crimes and can be prosecuted.
- 4.19 Hate speech is all forms of speech which spread and justify racial hatred, xenophobia, anti-Semitism or other forms of hatred based on intolerance (Institute for Strategic Dialogue). This includes hate speech directed at others due to their protected characteristics(all protected characteristics as set out in the Equality Act 2010).
- 4.19 Examples of all of the above definitions are set out in Appendix 1.

## 5 Harassment and bullying via the internet and/or email and Social media sites

- 5.1 Harassment, bullying and stalking can also take place on the internet and through the misuse of email and social media. This can include but is not limited to the use of social media including Twitter, Facebook, Instagram, LinkedIn, WhatsApp, YouTube, Reddit, TikTok, Snapchat and other platforms, as well as chat

rooms and other forums, personal web pages, emails, text messages, Skype, conference calling and other online tools. This may also occur during online teaching/seminar or any other online meeting that may be arranged and connected to a student's learning experience.

- 5.2 When using social media or posting online all members of the LSE Community should consider the content, language and appropriateness of such communications. Use which is deemed unacceptable includes but is not limited to the following:
- making and/or sharing sexually explicit, racist, violent messages and/or offensive messages or other such content via social media
  - forming or participating in an online group that isolates or victimises fellow students, members of staff and or other members of the LSE community
  - using social media to access or share illegal content
  - using language which would be deemed to be offensive, threatening or humiliating to others in a face-to-face setting
  - Making defamatory comments
  - Sharing confidential information
  - Imitating another LSE community member on social media
- 5.3 Any such unacceptable use can lead to an investigation under the relevant disciplinary procedure. Members of the LSE community are additionally required to comply with the School's Conditions of Use of IT facilities which can be found at: <https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/conOfUseOfITFacAtLSE.pdf>

## 6. **Action Against discrimination, harassment, victimisation and bullying**

- 6.1 Where it is possible and where there is no risk to safety, the School would always encourage an individual to inform the alleged perpetrator that they find the behaviour directed against them unacceptable and ask them to stop. In some cases, the situation may be resolved in this way. A written record should be kept of all incidents including the details, dates, times, circumstances and witnesses. If the matter is not resolved or the behaviour persists, then an individual should approach the relevant members of the School to escalate the matter as set out under the relevant School procedure. There is also a list of internal contacts set out in Appendix 2.
- 6.2 Where an allegation is brought forward to be considered formally, the School will conduct confidential and impartial investigations into allegations made. In deciding whether conduct is discrimination, harassment or bullying, the School will take account of the following factors:
- the alleged reporting individual's perception of the conduct
  - other circumstances of the case;
  - whether it is reasonable for the conduct to have had the effect of discrimination, harassment or bullying
- The School will take into consideration any aggravating factors such as unacceptable behaviour arising from an abuse of power from an individual who is in a senior position against an individual who is in a junior position.
- 6.3 Where an allegation is upheld, this may normally result in disciplinary action which can include dismissal, expulsion or referral to the police in serious cases. The relevant procedures are outlined below:
- 6.4 **For students and members of staff**

### **For students:**

- The disciplinary procedure for students:  
<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/disProStu.pdf>
- Student Complaints procedure (in the context of this Policy, this procedure would normally be used for cases of discrimination):  
<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/comPro.pdf>

In relation to student cases, the School and the LSE Students' Union may use their own separate procedures to investigate and take appropriate action to resolve the same allegation of harassment, discrimination and bullying (i.e. the School considering a student's status at LSE, the Union considering a student's membership of its organisation). Aside from banning a student from Students' Union space, the Students' Union can take disciplinary action against LSESU staff or a student group (such as a club or society). For the avoidance of doubt, the Students' Union procedure is separate to the School procedures and information would not normally be shared between the LSESU and the School unless the student has consented or if there are exceptional circumstances that require the sharing of that information (i.e. safeguarding issues).

### **For Members of Staff:**

- Grievance Policy and Procedure for Professional Services Staff (most cases would initially begin under this procedure):  
<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/griPolProAcaSupSta.pdf>

- Disciplinary and Dismissal Policy for Professional Services Staff:

<https://info.lse.ac.uk/staff/divisions/HumanResources/Assets/Internal/staff/Policy/PSSDisAndDismissal.pdf>

- Academic Annex Procedure for Academic and Research staff:

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/acaAnn.pdf>

- 6.5 Other members of the LSE community will be considered under their relevant contract/engagement with the School or any other relevant School Procedure/Code which may relate specifically to them.
- 6.6 Disclosures/Reports regarding discrimination, harassment and bullying may also be made using the School's Report It Stop It tool. Reports raised through this tool may subsequently be investigated under one of the above set out procedures.
- 6.7 If an individual has experienced or witnessed third party harassment (of a member of the LSE Community) they should initially discuss this with their line manager, supervisor, academic mentor, Senior School Advocate for Students or one of the Internal contacts set out in Appendix 2 in the first instance. The School will then consider what appropriate action will need to be taken which may include but is not limited to notifying third parties and using their complaints procedure if applicable or notifying LSE Security and/or the police if required.
- 6.8 Where a disclosure or report indicates that there may be a risk of harm to that individual or others within the LSE Community, then a small, select few members of the School which may include a representative from Student Services, the Legal team, Human Resources, Security, Residences and the Disability and Wellbeing Service aside from the Chair ('the Group') will meet 'on a need to know basis' to assess the risks arising from such disclosure/report and consider what immediate and long term action may be necessary and by who to ensure the safety and wellbeing of the individual who has made the disclosure or report as well as the other students, staff and wider LSE Community who may also be at risk or need assistance. Anyone at the School may trigger this Group or may seek confidential advice from any member of the Group who will provide guidance as to whether the Group should be triggered or whether the matter may be referred to a specific area of the School.
- 6.9 **Cluster disclosures**  
Where there may be a cluster of disclosures (whether made anonymously or not) that originate from a specific Department/Division of the School and which concern any type of unacceptable behaviour outlined in this policy, then the School may carry out an investigation with staff/students, where relevant, within the specific Department/Division. This is to ascertain information on and understand the unacceptable behaviour that has been disclosed and to identify next steps including putting in place appropriate support and taking any necessary preventative measures.
- 6.10 **Malicious and/or vexatious allegations**  
Disciplinary action may be taken if allegations are found to be malicious or vexatious. However, individuals will not be subject to disciplinary action or to any other detriment simply because their complaint is not upheld, and will only face disciplinary action if it is found both that the allegation is false and made in bad faith (that is, without an honest belief in its truth).
7. **Confidentiality and Data Protection**
  - 7.1 The School will conduct confidential and impartial investigations into allegations made relating to unacceptable behaviour or conduct as outlined in this Policy. It will at all times comply with The Data Protection Act 2018 and the General Data Protection Regulation (GDPR). Any information provided in relation to harassment, discrimination and/or bullying shall be kept confidential and will only be shared with others within the School on a 'need to know' basis.
  - 7.2 There may be instances where the School may have to disclose confidential information to the police (where in exceptional circumstances the School considers that there is a high risk of continuing harm to the reporting individual or others within the LSE community or to prevent a further incident which constitutes a criminal offence from occurring), the civil and criminal courts if requested formally or to the Office of the Independent Adjudicator (OIA). The School may also use anonymous data on cases internally for reporting, learning, training and evaluating or externally with regulators in the higher education sector.
8. **Monitoring of Cases**
  - 8.1 The School will compile anonymous information about the number, nature and outcomes of, discrimination, harassment and bullying cases each academic year, with a view to keeping the Ethics Management Board, the Harassment and Safeguarding Forum and the HR Management Board updated. The Policy will also be reviewed at regular intervals to monitor its effectiveness.

\*Please note that this policy can be available in other formats if required.



# APPENDIX 1-EXAMPLES

This Appendix provides some examples.

## DISCRIMINATION

### DIRECT DISCRIMINATION

#### Age:

- An employer refuses an individual to do a training course because they think they are 'too old', but allows younger colleagues to do the training.

#### Disability:

- during an interview, a job applicant tells the potential employer that he has multiple sclerosis. The employer decides not to appoint the individual even though they are the best candidate they have interviewed, because they assume the individual will need a lot of time off sick

#### Gender re-assignment:

- a transsexual (as defined under the Equality Act 2010) student is discriminated against and treated differently to someone who is non transsexual

#### Marriage

- a woman works night shifts but is dismissed when she gets married because her employer thinks a married woman should be at home in the evening

#### Race:

- a member of staff or student is treated less favourably than their colleague or peer and denied promotion (in relation to a member of staff) because they are from a different race

#### Sex:

- male students are given preferential treatment in seminars over female students

#### Sexual orientation:

- at a job interview, a woman makes a reference to her girlfriend. The employer decides not to offer her the job, even though she is the best candidate they have interviewed

#### Examples of direct discrimination based on association or perception:

- an individual is discriminated against because their family member is transgender (association)
- an individual is discriminated against because they are perceived to be of a certain religion (perception)

### INDIRECT DISCRIMINATION

#### Age

- an employer applies a policy whereby it only offers training development opportunities to employees under the age of 30.

#### Disability:

- a job advert states that all applicants must have a driving licence. This puts some disabled people at a disadvantage because they may not have a licence because, for example, they have epilepsy. If there is an occupational requirement for this, the requirement will be justified. If it is for a class teacher it would be more difficult to justify.

#### Gender re-assignment:

- a class teacher runs an ice-breaker asking all students to bring in childhood photos and then chastises a trans student for not doing so (because the student does not want their colleagues to know that their natal sex doesn't align with their gender identity).

#### Race:

- An employer refuses to employ people who cover their own hair, this would put certain individuals from a particular race(s) at a disadvantage when applying for a position

#### Religion:

- a dress code is imposed which in appearance applies to everyone, but which may discriminate against certain individuals who follow a particular religion



### **Sex:**

- an imposition of compulsory full time work for all is introduced per new criteria –this may put female staff members at a disadvantage as they are more likely to be the primary care giver for their children and may need to work part time/have flexible hours

### **Sexual Orientation:**

- There is a Policy which is in place which prevents students who are LGBTQ from taking part in an organised field trip.

## **DISCRIMINATION ARISING OUT OF A DISABILITY**

- A student with autism who can be disruptive is asked not to no longer attend seminars and lectures
- A department is aware that a new member of staff requires certain reasonable adjustments to be made as a result of their disability. Some of those adjustments are made, but other adjustments are not made which results in the staff member struggling at work and requiring further time off.
- an employee with cancer is prevented from receiving a bonus because of time they have taken time off to receive treatment

## **HARASSMENT**

- jokes, offensive remarks or intimate questions conveyed orally or in writing directly to a person or about a person to a third party
- producing, sending or displaying inappropriate and/or offensive images or other material to, or about, a person or group
- insulting, abusive, embarrassing or patronising behaviour or comments, humiliating and/or demeaning criticism
- abuse, threats or intimidation towards a person or group
- damaging, defacing or removing a person's or group's property
- breaching a person's confidentiality by disclosing their sensitive personal information
- less favourable treatment by excluding a person from a benefit or opportunity that is open to others
- isolation from normal work or study place conversations or social events
- unwanted physical conduct such touching, staring at or hitting a person
- sexually assaulting or making sexual advances towards another person
- being part and contributing to a workplace or study environment where a culture which tolerates harassment and bullying persists, i.e. in telling racist/religious jokes
- persistently overloading an individual with work that the individual cannot reasonably be expected to complete

### **Harassment due to Age**

This could be any action whereby prejudicial assumptions, attitudes and stereotyping is expressed about an individual's abilities based on their age. It can also result in exclusions from social or educational activities as a result of these prejudicial views.

- assumptions regarding the individual's inability to learn
- offensive remarks
- exclusion on the basis of age

### **Harassment of People with disabilities**

This could include any of the following:

- failure to make reasonable adjustments
- imposing unfair work expectations and tasks
- intimidation and name calling
- discussion of the effects of a disability on an individual's personal life
- inappropriate touching or staring relating to an individual's disability
- inappropriate questions about the impact of someone's disability

### **Harassment due to gender re-assignment**

Gender re-assignment covers a person who:

- is proposing to undergo
- is undergoing
- or has undergone a process, or part of the process, to reassign their sex by changing physiological or other attributes determining sex.

Examples include but are not limited to:

- insulting remarks relating to gender re-assignment
- jokes and mocking behaviour
- asking inappropriate questions in relation to an individual's gender re-assignment
- name calling

### **Harassment based on Race**

Any hostile or offensive act or expression by a person of one race, colour, nationality -including citizenship, or ethnic or national origin against a person of another. Examples can include but are not limited to:

- making jokes, insinuations, humiliating comments or racially oriented remarks
- criticizing and being intolerant in regards to the individual's differences: his or her accent, clothing, hairstyle, customs and beliefs
- acting seemingly disgusted or showing contempt in the individual's presence
- finding excuses for not working with an individual
- exclusion from normal workplace conversations or activities
- unfair allocation of work
- stereotyping the victim with subordinate tasks or case-loads
- trying to hinder or stop the victim's chances for a promotion.
- showing comic strips, pictures or images that are racially degrading
- racist graffiti, slogans, images or insignia
- racial stereotyping -assuming that all people of a particular race have the same characteristics
- unacceptable terminology -derogatory terms that refer to somebody's race are clearly unacceptable and discriminatory.

### **Harassment based on Religion**

Religious Harassment is any behaviour deliberate or otherwise, pertaining to religion, religious belief or other similar philosophical belief and it is behaviour which can be defined as unwanted conduct violating a person's dignity, or creating an intimidating, hostile, humiliating or offensive environment. Examples can include but are not limited to:

- making offensive jokes regarding an individual's religion
- ridiculing their religious beliefs/practices
- displaying offensive material

### **Harassment based on sex**

Sex-based harassment means unwanted conduct that is related to an individual's sex or the sex of another person.

Sex-based harassment will not, therefore, be sexual in nature but will be behaviour that is linked in some way to gender and causes offence to an individual. Examples can include:

- making derogatory or demeaning jokes about women generally and a particular individual (male or female) finds this unwelcome and offensive.
- Sexist comments being made
- Disproportionately checking up on female staff more than male staff to ensure that work is being done as an assumption is made that women working remotely will undertake more childcare or housekeeping duties than men.

### **Harassment based on Sexual Orientation**

Homophobia is a term used to describe a range of negative attitudes and feelings towards homosexuality or people who are identified or perceived as being lesbian, gay, bisexual or transgender (LGBT). It may be directed against individuals or groups of people and harassment in this case is behaviour which can be defined as unwanted conduct violating a person's dignity, or creating an intimidating, hostile, humiliating or offensive environment. Examples may include but are not limited to:

- homophobic remarks or unwelcome jokes
- verbal threats to disclose sexuality
- derogatory comments
- intrusive questioning about a person's domestic circumstances or intimate questions about sexual activity
- innuendo and gossip about the individual
- physical attack
- exclusion from normal work place / class conversation or activities
- incitement of others to commit any such acts

## SEXUAL HARASSMENT

Sexual harassment occurs when you engage in unwanted behaviour which is of a sexual nature and which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for the individual. 'Of a sexual nature' can cover verbal, non-verbal or physical conduct including unwelcome sexual advances, inappropriate touching, forms of sexual assault, sexual jokes, displaying pornographic photographs or drawings, or sending emails with material of a sexual nature. Examples can include but are not limited to:

- sharing sexually inappropriate images or videos, such as pornography or salacious gifs, with co-workers
- sending suggestive letters, notes, or e-mails
- displaying inappropriate sexual images or posters in the workplace
- telling lewd jokes, or sharing sexual anecdotes
- making inappropriate sexual gestures
- staring in a sexually suggestive or offensive manner, or wolf-whistling
- making sexual comments about appearance, clothing, or body parts
- inappropriate touching, including pinching, patting, rubbing, or purposefully brushing up against another person
- asking sexual questions, such as inquiries about someone's sexual history or their sexual orientation

Sexual harassment and Sexual Violence are covered under the School's Sexual harassment and Sexual Violence Policy.

### Harassment relating to the rejection or submission of unwanted contact of a sexual nature or behaviour that is related to gender identity or sex

- An individual is being moved from a committee, department or study group, because they have rejected sexual advances of another member of the same group.

## BULLYING

- unmerited criticism, exclusion, isolation and/or gossip;
- spreading rumours about a person;
- stalking or persistently displaying unwanted conduct to a person face-to-face, online for those who are remotely working/studying or by another means of communication;
- Members of staff, including senior managers, encouraging or directing bullying behaviour via other members of staff (to assume no direct involvement);
- taunting, teasing, ostracising or ridiculing a person either directly or to a third party;
- shouting at or berating a person in a public environment, such as in an office, during a committee session or in a classroom as well as if they are working/studying remotely within their home environment;
- ignoring or excluding individuals
- taking or hiding another person's property;
- undermining a person's ability to carry-out or take credit for their work by unfairly overloading them with menial tasks, taking their work away from them, or stealing, duplicating or copying their work;
- physically or verbally threatening or intimidating a person;

## VICTIMISATION

- An individual suffers a detriment as they are denied opportunities to progress by their manager because the individual previously made a race discrimination claim against them.
- An individual supports a fellow colleague/student in making a complaint of sex discrimination against their line Manager/ supervisor. As a result, that individual is treated unfairly and has been subjected to isolating and exclusionary behaviour by their line manager/supervisor.

## STALKING

- following an individual
- contacting/attempting to contact a person by any means including via social media
- monitoring the use by a person of the internet, email or any other form of electronic communication,
- interfering with the property in the possession of an individual
- loitering in any place (whether in public or private) where the individual may be present

## CYBER HARASSMENT AND BULLYING

Examples of such behaviour includes but is not limited to the following:

- to harass and bully an individual via social media
- online surveillance of an individual
- identity theft such as subscribing the individual to services, purchasing goods and services in their name;
- damaging the reputation of the individual on social media
- inappropriate use of texts or postings on social media against an individual
- electronic sabotage such as spamming and sending viruses or
- tricking other internet users into harassing or threatening an individual

## HATE INCIDENT/CRIME AND HATE SPEECH

Hate crime can fall into one of three main types: physical assault, verbal abuse and incitement to hatred.

### • Physical assault

Physical assault of any kind is an offence. Depending on the level of the violence used, an alleged perpetrator may be charged with common assault, actual bodily harm or grievous bodily harm.

### • Verbal abuse

Verbal abuse, threats or name-calling.

### • Incitement to hatred

The offence of incitement to hatred occurs when someone acts in a way that is threatening and intended to stir up hatred. That could be in words, pictures, videos, music, and includes information posted on websites.

Hate content may include:

- messages calling for violence against a specific person or group
- web pages that show pictures, videos or descriptions of violence against anyone due to their perceived differences
- chat forums where people ask other people to commit hate crimes against a specific person or group

Hate Speech

- **Demonisation:** Presenting the target group/individuals (often but not always a minority) in overwhelmingly negative terms – characterising them as inherently malicious, dishonest or threatening.
- **Toxic misinformation:** False stories linking the target group to violent, criminal or morally corrupt behaviour.
- **Dehumanisation:** Portraying the target group as subhuman

## APPENDIX 2 – INTERNAL AND EXTERNAL CONTACTS AND SOURCES OF SUPPORT

### INTERNAL CONTACTS

You are encouraged to approach one of the following members of School staff if you have any concerns about discrimination, harassment and/or bullying:

- Deputy Head of Student Services (Advice and Policy), Dr Pete Evanson at: [p.evanson@lse.ac.uk](mailto:p.evanson@lse.ac.uk)
- The Adviser to Women Students, Dr Bingchun Meng at: [b.meng@lse.ac.uk](mailto:b.meng@lse.ac.uk)
- Head of Legal, Kevin Haynes at: [k.j.haynes@lse.ac.uk](mailto:k.j.haynes@lse.ac.uk)
- Your HR Partner
- Head of Student Services, Martyn Annis at: [m.annis@lse.ac.uk](mailto:m.annis@lse.ac.uk)
- The Dean for the General Course, Mark Hoffman at: [gc.dean@lse.ac.uk](mailto:gc.dean@lse.ac.uk)
- Head of Residential Life, Victoria Frost at: [v.l.frost@lse.ac.uk](mailto:v.l.frost@lse.ac.uk)
- Head of Security, Paul Thornbury at: [P.C.Thornbury@lse.ac.uk](mailto:P.C.Thornbury@lse.ac.uk)
- Head of Alumni & Supporter Engagement, Philanthropy and Global Engagement Division (PAGE), Chris Kendrick at: [c.kendrick@lse.ac.uk](mailto:c.kendrick@lse.ac.uk)
- The Ethics Manager at: [ethics@lse.ac.uk](mailto:ethics@lse.ac.uk)
- Your Academic Adviser, Supervisor or Departmental Tutor
- The Warden of your hall of residence
- The Student Counselling Service at: [student.counselling@lse.ac.uk](mailto:student.counselling@lse.ac.uk)
- The School's Equity, Diversity and Inclusion Office at: [edi@lse.ac.uk](mailto:edi@lse.ac.uk)
- The Faith Centre at: [faithcentre@lse.ac.uk](mailto:faithcentre@lse.ac.uk)
- Student Services Centre at: [ssc.advice@lse.ac.uk](mailto:ssc.advice@lse.ac.uk)

You can also contact the Senior Legal Counsel, Refel Ismail at: [r.ismail@lse.ac.uk](mailto:r.ismail@lse.ac.uk), the Head of Legal, Kevin Haynes at: [k.j.haynes@lse.ac.uk](mailto:k.j.haynes@lse.ac.uk) or Legal Counsel, Mariachiara Valsecchi at: [m.valsecchi1@lse.ac.uk](mailto:m.valsecchi1@lse.ac.uk) for advice on this Policy.

### Counselling services

All those affected by the disclosure/report, including but not limited to the individual making the disclosure/report, the individual accused and the individual to whom the disclosure/report was made, may access support through the School's counselling services and the LSESU Advice Centre.

The School's Student Counselling Service offers a private and confidential space for Students to discuss anything which is impacting their psychological wellbeing and daily life. The service is staffed with trained counselling professionals, who offer one-to-one appointments and workshops which run throughout the year. Full information on this Service and how to access it is available on the School website:

<https://info.lse.ac.uk/current-students/student-wellbeing/student-counselling/about-counselling>.

Students may also speak with a Mental Health Advisors through the School DWS (<https://info.lse.ac.uk/current-students/student-wellbeing/disability-wellbeing/speak-with-an-adviser>).

In addition to counselling and mental health adviser support, there is also support available through the School Peer Supporters. Peer Supporters are trained student volunteers who can offer support, give a fresh perspective and listen to whatever is troubling a student, from academic stresses to relationships. Students can explore the following page (<https://info.lse.ac.uk/current-students/student-wellbeing/students-supporting-students/peer-support-scheme>) to learn more about how Peer Support could help them, and how to contact a Peer Supporter.

Students can also access a 24/7 out of hours mental health support line sponsored by the School via SpectrumLife. All calls are answered by clinically trained counsellors or psychotherapists. Students can talk to them about anything, including stress, anxiety, low mood, financial worries, loss and grief, relationship problems, and substance abuse issues.

### Safe Contacts

The School has a network of Safe Contacts. **LSE Safe Contacts** are members of LSE staff who have received training and can offer a confidential 'signposting' service for staff and students who have previously or are currently experiencing some form of bullying, harassment or sexual violence.

The Safe Contacts are all volunteers, who are supported by the EDI office and who are committed to supporting LSE's inclusive working, studying and social environment. These safe contacts have received sexual violence training. There are two ways you can speak with a Safe Contact:

1. You can contact Equity, Diversity and Inclusion via email ([edi@lse.ac.uk](mailto:edi@lse.ac.uk)) or by phone (020 7106 1229 or +447971552755)
2. You can reach out to a Safe Contact directly via their contact details [lse.ac.uk/safecontacts](https://info.lse.ac.uk/safecontacts)

## Report It Stop It

Discrimination, harassment and bullying can also be reported using LSE's dedicated online form. The report will be treated confidentially, and followed up promptly and fairly.

### Union/LSESU Contacts:

#### For staff cases

The School has three Unions: University and College Union (UCU), UNISON and Unite. Members of staff are able to approach any of these Unions who will be able to listen to you, represent your views and liaise with the School to tackle inappropriate behaviour.

For further information, please contact the Unions using the relevant contact details as below:

Unison: [unison@lse.ac.uk](mailto:unison@lse.ac.uk)

UCU: [ucu.secretary@lse.ac.uk](mailto:ucu.secretary@lse.ac.uk)

Unite: [i.marston@lse.ac.uk](mailto:i.marston@lse.ac.uk)

#### For Student cases

The Students' Union has Sabbatical Officers, Part-time Officers and an Advice Team who will listen to you, represent your views on these issues and liaise with the School to tackle inappropriate behaviour.

- Sabbatical and Part-Time Officers, a list of whom can be found at: <http://www.lsesu.com/democracy/student-reps/>
- LSESU Advice Team, which can be contacted at [su.advice@lse.ac.uk](mailto:su.advice@lse.ac.uk). You can find more information at <http://www.lsesu.com/advice/>

## EXTERNAL CONTACTS

### General

- [Ask the Police](#)
- [Citizens Advice Bureau](#) (rights and responsibilities)
- [Crimestoppers](#) (reporting crime)
- [Equality Advisory and Support Service](#)
- [Metropolitan Police](#)
- [NHS 111](#) (non-emergency service)
- [Nightline](#) – open every night from 6pm to 8am during term time
- [Samaritans](#) (08457 909090 / 020 7734 2800), 116 123, email: [jo@samaritans.org](mailto:jo@samaritans.org)
- [Stop Hate UK](#) (all forms of hate crime and discrimination)
- [Victim Support](#) (victims of crime)
- [National Stalking Helpline](#) (support for anyone experiencing stalking)

### Sexual and female related

- [National Domestic Abuse Helpline](#): Women and children: 0808 2000 247
- [Rape Crisis](#) (rape and sexual abuse)
- [Solace Women's Aid](#) (0808 802 5565 / [advice@solacewomensaid.org](mailto:advice@solacewomensaid.org))
- [Women's Aid](#)
- [Refuge](#) (support for women and children who have experienced domestic abuse)
- [The Havens](#) (London-based support for survivors of recent rapes/sexual assaults for all genders)
- [NAPAC](#) (support for survivors of childhood sexual abuse for all genders)
- [Rights of Women](#) (free and confidential legal advice for women)

### Men related

- [National Domestic Abuse Helpline](#): 0808 801 0327
- [Survivors UK](#) (male victims of rape and sexual abuse)
- [Mankind](#) (support for men who have been sexually abused)
- [Men's advice line](#) (support for men experiencing domestic violence)
- [The Havens](#) (London-based support for survivors of recent rapes/sexual assaults for all genders)
- [NAPAC](#) (support for survivors of childhood sexual abuse for all genders)

### LGBT related

- [Galop](#) (LGBT+ anti-violence charity)

## 190 School Regulations

- **Switchboard** (LGBT+ helpline)
- **TransUnite** (find a trans support group near you)

### Disability related

- **Mencap** (the voice of learning disability)
- **Mind** (mental health)
- **Respond** (support for children and adults with learning disabilities who have experienced abuse and/or trauma for all genders)
- **DeafHope** (support for Deaf people experiencing domestic abuse)
- **Stay Safe East** (supporting Deaf and disabled survivors of hate crime, domestic and sexual abuse in Waltham Forest and Newnham areas of London only)

### Religious and belief related

- **Karma Nirvana** (supporting victims of honour-based abuse and forced marriage)
- **Forced Marriage** 020 7008 0151 (emergencies)
- **Muslim Women's Network** (support for Muslim women experiencing or at risk of abuse)

### Hate Crime

#### Please call 999 if you believe you are in immediate danger

Call 101 for non-emergency enquiries.

In addition, you can report hate crime to some of the organisations who support affected communities, including:

- **Stop hate UK** (all hate crime)
- **True Vision** (all hate crimes)
- **Tell Mama** (anti-Muslim hate crime)
- **Community Security Trust** (anti-Semitic hate crime)
- **GALOP** (anti-LGBTQ+ hate crime)



## APPENDIX 3-LEGISLATION

- **The Equality Act 2010** applies to nine protected characteristics. It provides individuals with legal protection against discrimination, harassment and victimisation.
- The School also has a **Public Sector Equality Duty**, and therefore has a general duty to have due regard to eliminating unlawful discrimination, harassment and victimisation and any other conduct prohibited by the Equality Act 2010.
- **The Human Rights Act 1998** (HRA): sets out the fundamental rights and freedoms that everyone in the UK is entitled to. It incorporates the rights set out in the European Convention on Human Rights (ECHR) into domestic law.
- **The Protection from Harassment Act 1997** prohibits harassment whatever the cause, with Section 2A specifically referring to stalking. The Act gives rise to both civil and criminal remedies.
- **The Sexual Offences Act 2003** covers all physical forms of sexual abuse, including non-consensual sexual activity.
- **The Crime and Disorder Act 1998** introduced anti-social behaviour orders, sex offenders orders, parenting orders and laws specifically relating to racially aggravated offences, hate crime.
- **The Health and Safety at Work Act 1974** is the main piece of legislation covering health, safety and welfare in the workplace
- **The General Data Protection Regulation 2016 (GDPR)** sets out six legal principles for the processing of data and rules around consent. It ensures that personal data must be secured in line with the Regulation and provides right of access to that data.

### Review schedule:

Review interval	Next review due by	Next review start
2 years	1 July 2022	17 May 2022

### Version history:

Version	Date	Approved by	Notes
3	21st July 2020	SMC	This Policy replaces the existing 'Anti-bullying and Anti-Harassment Policy'
2.1	17 May 2016	Council	'Anti-Bullying and Anti-Harassment Policy' replaces existing 'Harassment Policy'

### Links:

Reference	Link
Sexual Harassment and Sexual Violence Policy	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/harVioPol.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/harVioPol.pdf</a>
Disciplinary procedure for Students	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/disProStu.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/disProStu.pdf</a>
Student Complaints procedure	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/comPro.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/comPro.pdf</a>
Disciplinary and Dismissal Policy for Professional Services Staff	<a href="https://info.lse.ac.uk/staff/divisions/HumanResources/Assets/Internal/staff/Policy/PSSDisAndDismissal.pdf">https://info.lse.ac.uk/staff/divisions/HumanResources/Assets/Internal/staff/Policy/PSSDisAndDismissal.pdf</a>
Grievance Policy and Procedure for Professional Services Staff	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/griPolProAcaSupSta.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/griPolProAcaSupSta.pdf</a>
Academic Annex Procedure for Academic and Research Staff	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/acaAnn.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/acaAnn.pdf</a>
Code of Practice on Free Speech	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/Code-of-Practice-on-Free-Speech.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/Code-of-Practice-on-Free-Speech.pdf</a>
School's Conditions of Use of IT facilities	<a href="https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/conOfUseOfITFacAtLSE.pdf">https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/conOfUseOfITFacAtLSE.pdf</a>
Whistleblowing Policy	<a href="https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/lsePubIntDisPro.pdf">https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/lsePubIntDisPro.pdf</a>
Health and Safety Policy	<a href="http://www.lse.ac.uk/intranet/LSEServices/healthAndSafety/pdf/SafetyPolicy.pdf">http://www.lse.ac.uk/intranet/LSEServices/healthAndSafety/pdf/SafetyPolicy.pdf</a>
The Ethics Code	<a href="https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Ethics/EthicsCodeA5postcard.pdf">https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Ethics/EthicsCodeA5postcard.pdf</a>

### Contacts:

Position	Name	Email	Notes
Senior Legal Counsel	Refel Ismail	<a href="mailto:r.ismail@lse.ac.uk">r.ismail@lse.ac.uk</a>	Author

### Communications and Training:

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Further guidance and training in relation to this Policy to be looked at by Legal and HR

# SEXUAL HARASSMENT AND SEXUAL VIOLENCE POLICY

## Introduction

LSE is committed to a working and learning environment where people can achieve their full potential free of all types of harassment. The School recognises sexual harassment and sexual violence are prevalent in all areas of society, including higher education, and can take many forms. The nature of sexual harassment can be difficult to recognise and, gone undetected, can result in a culture that tolerates such behaviour. This can lead to individuals feeling isolated and unsafe. LSE recognises the importance of raising specific awareness of sexual harassment and sexual violence to promote a fully inclusive culture in order to enable issues to be tackled appropriately if they occur, resulting in a better environment for all.

The School's Ethics Code includes Equality of Respect and Opportunity as one of the Code's six key principles. This details the School's commitment to treating all people with dignity and respect and ensuring that no person is treated less favourably as a result of any of the protected characteristics under the Equality Act 2010, including gender (and gender identity).

## Policy Aims

This policy explains the steps LSE will take to provide a safe environment free from sexual harassment and violence. LSE recognises the need to challenge any tacit or explicit acceptance of sexual harassment or sexual violence to prevent escalation. LSE also undertakes to improve the understanding of sexual harassment across the School's community to prevent it occurring, as well as providing a supportive culture, which encourages reporting of incidents and ensures that they are dealt with sensitively and appropriately. It is recognised that it can be distressing for all those affected by a sexual harassment disclosure; this policy aims to ensure that all parties are treated with dignity and respect and provided with appropriate support.

In addition to addressing individual complaints of sexual harassment and sexual violence, LSE will take steps to understand the nature and extent of sexual harassment and sexual violence experienced by members of the LSE community on its premises that goes unreported.

## Scope of Policy

LSE recognises that all people, including men in heterosexual and same gender relationships and transgender and non-binary people, can experience sexual harassment and/or sexual violence. This policy applies to all members of the LSE community regardless of gender or sexuality.

The School will not tolerate any form of sexual harassment or sexual violence within its community or against its members. This may go beyond the physical premises and normal business hours of the School, such as conduct at events and trips abroad or on social media.

This policy applies to the LSE community and specifically relates to sexual harassment or sexual violence perpetrated by:

- a student against a student, member of staff or lay governor;
- a member of staff against a student, member of staff or lay governor; and
- a lay governor against a student, member of staff or lay governor.

The School also commits to tackling sexual harassment or sexual violence by, or against, any other party who is contracted to abide by this policy, such as visiting fellows, and will take action deemed appropriate in the circumstances.

Whilst issues relating to sexual harassment and/or sexual violence may arise as a result of a power differential, they are not necessarily confined to the behaviour of any particular group of staff to another, e.g. senior staff towards more junior staff, or, indeed, staff towards students. It can take place between persons at the same level or involve staff or students behaving inappropriately towards more senior members of the School.

## Definitions

For the purposes of this Policy, the following definitions apply:

**Sexual harassment** is defined as unwanted behaviour of a sexual nature which has the purpose or effect of violating an individual's dignity; making an individual feel intimidated, degraded or humiliated and/or creating a hostile or offensive environment.

Sexual harassment also occurs if an individual treats a person less favourably because that person has rejected or submitted to unwanted conduct of a sexual nature or that is related to gender identity or sex, and which has had the purpose or effect described in this section. In this scenario, the person who treats someone less favourably might not be the person who engaged in the unwanted conduct.

**Sexual violence** is any sexual act or attempt to obtain a sexual act by violence or coercion which takes place without consent.

Actions or behaviour which may constitute sexual harassment or sexual violence include, but are not limited to, the following: sexual comments or jokes, touching, sexual assault including groping, unwelcome sexual advances,

displaying or showing material of a pornographic or sexual nature, making requests for sexual favours, stalking in person or online, rape. Online harassment may take the form of intimidating, offensive, or graphic posts on social media sites or chat rooms, or sexually explicit communications by email, text, or instant messaging.

**Consent** is providing permission for something to happen or agreement to do something with a full understanding of the facts and without coercion. In cases of sexual activity, consent cannot be presumed but must be explicitly given, verbally or non-verbally. Consent cannot be deemed to have been given if it is provided under pressure or in situations where someone is not capable of providing it. Consent can be withdrawn at any time.

**LSE community** includes all salaried and non-salaried members of staff, students and lay governors of the School. The School will take steps to ensure other relevant parties comply with the required standards of behaviour in this policy by way of contract.

**Safe Contacts** are members of LSE staff who have received advanced anti-sexual violence and harassment training and can provide a primary point of contact, information and support for individuals disclosing sexual violence or sexual harassment.

## Policy Principles

### *Preventing Sexual Harassment and Sexual Violence*

LSE will take steps to eliminate sexual harassment and sexual violence and other unlawful discrimination. The School will actively promote equality in order to provide a collegiate, lawful and harmonious working and learning environment.

LSE will endeavour to raise awareness of sexual harassment and sexual violence among staff and students, in conjunction with the LSE Students' Union. This will be achieved by providing workshops covering the issue of consent for staff and students.

Updated contact details for 'Safe Contacts' will be published annually on the LSE website and in relevant student and staff handbooks. There will be an ongoing programme of training for new and existing Safe Contacts. Neither students nor staff are restricted to making disclosures to these members of staff and the School commits to carrying out briefings to raise awareness and support staff and students who are affected by a disclosure.

### *Reporting Sexual Harassment and/or Sexual Violence*

LSE provides guidance for students and staff on how to report sexual harassment or sexual violence and the support that is available both internally and externally. This guidance will be updated annually and can be found at <https://info.lse.ac.uk/staff/divisions/equity-diversity-and-inclusion/EDI-and-you/Making-a-choice/Sources-of-support>

LSE provides detailed guidance for staff on how to handle disclosures of sexual harassment or sexual violence and this guidance will be updated annually. This guidance can be found at <https://info.lse.ac.uk/staff/divisions/equity-diversity-and-inclusion/Assets/Documents/PDFs/Internal/LSE-staff-guide-to-handling-cases-of-student-sexual-violence-harassment-and-abuse.pdf>.

LSE will listen to, and take seriously, all disclosures of sexual harassment and sexual violence without making any judgements regarding the circumstances. The School will work with staff and students to provide them with information about their options and the support available to them, both internally within LSE and, where appropriate, externally to statutory services.

LSE will respect the sensitivity of complaints of sexual harassment or sexual violence, and their consequences, and will treat any complaint with the utmost confidentiality and in line with the wishes of the individual. Unless there is a safeguarding risk, complaints will not normally be taken further than the complainant wishes, thereby allowing for both informal and formal resolution.

All those affected by the disclosure, including the person accused and the person to whom the disclosure was made, may access support through the School's counselling services and the LSESU Advice Service.

### *Action against Sexual Harassment and Sexual Violence*

The School will conduct confidential and impartial investigations in response to allegations of sexual harassment and/or sexual violence made against students or staff as appropriate under the School's relevant staff or student procedure (see Related Policies and Procedures section below). Where historical allegations are brought by a member of the LSE community, including alumni, these will be taken seriously and, where possible, reasonable attempts will be made to obtain relevant information to determine the appropriate response. Investigations will at all times comply with the General Data Protection Regulation 2018. Where an allegation of sexual harassment and/or sexual violence is upheld, this will normally result in disciplinary action up to and including dismissal or expulsion in more serious cases. Disciplinary action may also be taken if allegations of sexual harassment or sexual violence are found to be malicious or vexatious.

Where appropriate, following an allegation of sexual harassment and/or sexual violence, the School may be required, or decide, to take steps in relation to the alleged perpetrator, in order to prevent contact between the two parties pending the conclusion of the ongoing investigation(s). Actions taken will be proportionate and will constitute a neutral act. Such actions may include a change in accommodation or working location or suspension. Where it is considered that it may be necessary, suspension will be carried out in line with the relevant disciplinary procedure.

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The School and the LSE Students' Union may also use their own separate procedures to investigate and take appropriate action to resolve the same allegation of sexual harassment or sexual violence (i.e. the School considering a student's status at LSE, the Union considering a student's membership of its organisation). In cases of staff/student incidents, the School and the LSE Students' Union will keep each other informed of relevant action where appropriate.

The School will also take appropriate steps to deal with behaviour, intentional or unintentional, that results in a breach of this policy.

It should be noted that a member of the LSE community is personally liable for their actions, which in some instances could lead to criminal or civil action in the Courts under the Protection from Harassment Act 1997, Equality Act 2010 or other relevant legislation, such as the Crime and Disorder Act 1998.

Where a complaint is being investigated as a criminal act, the School will normally defer its own internal investigations pending the conclusion of the criminal case. However, where appropriate, the School reserves the right to conclude its own investigations regardless of the criminal proceedings and without delay. In these cases, caution will be exercised to prevent any internal investigations from compromising the criminal proceedings. Internal investigations will be judged on the balance of probability, as opposed to the criminal standard of 'beyond reasonable doubt'. As such, it is possible that different conclusions may be reached in the separate proceedings.

*Monitoring sexual harassment or sexual violence within the LSE community*

LSE will record and compile anonymous information about the number, nature and outcome of reported sexual harassment or sexual violence incidents and investigations and the time it took to reach resolution each year.

The Safeguarding group will be responsible for carrying out the monitoring and will report into the EDI Advisory board.

### Legislation

**The Equality Act 2010** applies to nine protected characteristics, including sex, sexual orientation and gender reassignment. It provides individuals with legal protection against harassment.

The School also has a **Public Sector Equality Duty**, and therefore has a general duty to have due regard to eliminating harassment.

The **Human Rights Act 1998 (HRA)** underpins all equality legislation that relates to employers in the public sector, and those for whom they provide services. Article 3, in particular, includes serious physical assault, defining it as inhuman treatment. Article 8 sets out your right to control who sees and touches your body.

The **General Data Protection Regulation 2016 (GDPR)** sets out six legal principles for the processing of data and rules around consent. It ensures that personal data must be secured in line with the Regulation and provides right of access to that data. It does not cover cases of lawful interception and individuals should note that it may be necessary to provide data to the police if required to do so during a criminal investigation.

The **Protection from Harassment Act 1997** prohibits harassment whatever the cause, with Section 2A specifically referring to stalking. The Act gives both civil and criminal remedies.

The **Sexual Offences Act 2003** covers all physical forms of sexual abuse, specifically non-consensual sexual activity.

The **Crime and Disorder Act 1998** contains specific provision relating to sex offenders. It can impose a Sex Offender Order on an individual for up to five years to protect the public from harm.

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

### Review schedule:

Review interval	Next review due by	Next review start
1 year	15/10/19	15/08/19

### Version history:

Version	Date	Approved by	Notes
1	17/05/2018	Safeguarding Group	
2	07/06/2018	JNICC	
3	19/06/2018	SMC	

### Links:

Reference	Link
Ethics Code	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/ethCod.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/ethCod.pdf</a>
LSE Policy on Personal Relationships	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/perRelPolAndPro.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/perRelPolAndPro.pdf</a>
Effective Behaviours Framework	<a href="https://info.lse.ac.uk/staff/divisions/Human-Resources/Assets/Internal/staff/OL/Effective-Behaviours-Framework.pdf">https://info.lse.ac.uk/staff/divisions/Human-Resources/Assets/Internal/staff/OL/Effective-Behaviours-Framework.pdf</a>
Code of Residences Conduct	<a href="http://www.lse.ac.uk/student-life/accommodation/assets/documents/code-of-conduct.pdf">http://www.lse.ac.uk/student-life/accommodation/assets/documents/code-of-conduct.pdf</a>
Guidance on Reporting Bullying and Harassment	<a href="https://info.lse.ac.uk/staff/divisions/equity-diversity-and-inclusion/EDI-and-you/Making-a-choice/Sources-of-support">https://info.lse.ac.uk/staff/divisions/equity-diversity-and-inclusion/EDI-and-you/Making-a-choice/Sources-of-support</a>

Guidance for Staff on how to Handle  
Disclosures of Sexual Harassment or  
Sexual Violence

<https://info.lse.ac.uk/staff/divisions/equity-diversity-and-inclusion/Assets/Documents/PDFs/Internal/LSE-staff-guide-to-handling-cases-of-student-sexual-violence-harassment-and-abuse.pdf>

Procedure for Considering Allegations of Harassment  
from Students Against Members of Staff

[https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/proHarStu.pdf?from\\_serp=1](https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/proHarStu.pdf?from_serp=1)

Grievance Policy and Procedure for  
Academic Support Staff

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/griPolProAcaSupSta.pdf>

Academic Annex

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/acaAnn.pdf>

Disciplinary Procedure for Students

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/disProStu.pdf>

Disciplinary and Dismissal Policy and  
Procedure for Professional Services Staff

<https://info.lse.ac.uk/staff/divisions/Human-Resources/Assets/Internal/staff/Policy/PSSDisAndDismissal.pdf>

Exceptional Circumstances Guidance

<https://info.lse.ac.uk/current-students/services/assessment-and-results/exceptional-circumstances/exceptional-circumstances>

### Contacts:

Position	Name	Email	Notes
HR Policy	Lisa Morrow	<a href="mailto:l.morrow@lse.ac.uk">l.morrow@lse.ac.uk</a>	

### Communications and Training:

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Currently in discussion with EDI

# SPEAK UP (WHISTLEBLOWING) POLICY

## PUBLIC INTEREST DISCLOSURE

### 1. Policy Statement

- 1.1. LSE (the "School") is committed to the highest standards of ethical practice, behaviour and integrity among its staff and students. Where anyone has concerns we hope that these can be easily resolved. The School encourages staff to speak up and report any genuine concerns of wrongdoing. As speaking up and raising concerns can be difficult, this policy provides guidance to enable staff to do so and a commitment to ensuring that individuals are not adversely affected as a result of reporting concerns.
- 1.2. The aim of this Policy is:
  - i. To encourage staff to speak up and report suspected serious wrongdoing as soon as possible in the knowledge that their concerns will be taken seriously and investigated as appropriate;
  - ii. To provide individuals with guidance as to how to speak up and raise those concerns, including how to raise concerns anonymously;
  - iii. To provide a transparent and confidential process for dealing with concerns;
  - iv. To ensure individuals are aware that they are able to raise genuine concerns without fear of reprisal; even if they turn out to be mistaken;
  - v. To support the School's Ethics Code.
  - vi. To support the School's zero tolerance approach to dishonest behaviour, malpractice and misconduct including fraud, bribery and corruption as set out in the School's policy against bribery and fraud.

### 2. Who Is Covered By This Policy?

- 2.1. The Public Interest Disclosure Act legal protections apply to employees and workers. This Policy applies to individuals, contractually connected to the School, including staff, visiting staff, consultants and members of Council, regardless of any protected characteristics.
- 2.2. Students are encouraged to raise any concerns through the School's Student Complaints Procedure.
- 2.3. This policy has been designed to ensure that no-one receives less favourable treatment due to the protected characteristics of age, disability, gender (including gender identity), ethnicity and race, religion or belief, sexual orientation, marriage and civil partnership, pregnancy and maternity and social and economic background.

### 3. What Is Whistleblowing?

- 3.1. Whistleblowing is the disclosure of information, which relates to suspected wrongdoing or dangers relating to the running of the School or to the work-related activities of Staff. These disclosures must be in the public interest. Whistleblowing is also commonly known as 'speaking up'.
- 3.2. Wrongdoing may include, but is not limited to, information relating to:
  - a criminal offence;
  - failure to comply with legal obligations;
  - failure to comply with School policies, regulations and codes of practice, financial or non-financial maladministration or malpractice or impropriety or fraud;
  - academic or professional malpractice (including, for instance, violation of intellectual property rights, failure of integrity, or other academic misconduct);
  - a risk to the health or safety of any individual;
  - environmental damage;
  - a miscarriage of justice;
  - attempts to suppress or conceal any information relating to any of the above.
- 3.3. A **whistleblower** is a person who raises a genuine serious concern relating to any of the above categories of wrongdoing. The whistleblower may or may not be directly affected by the matter but the matter must also affect others.
- 3.4. If an individual is uncertain whether something is within the scope of this Policy, they should seek advice from the School Secretary whose contact details are at section 10. They may also contact Protect, which is an independent whistleblowing charity which operates an advice hotline.
- 3.5. All disclosures should be made with the view that it is in the public interest. This means that any such disclosure must affect others, for example, the general public, or other members of staff.
- 3.6. Concerns that are not of a public interest nature, or those which fall into an area covered by another procedure, will not be considered under this Policy. Any such concerns may be considered under other policies and procedures of the School. For example, where the concerns relate to research integrity or



research misconduct the investigation shall be conducted in accordance with the Code of Research Misconduct. Allegations of Fraud and Bribery shall be investigated in accordance with the Schools' anti-bribery policy.

- 3.7. Complaints that relate to a personal grievance are not usually covered by whistleblowing law. Staff grievances can be addressed through the School's grievance procedures.
- 3.8. For the avoidance of doubt, this Policy cannot be used in order to re-open or review a matter that is currently, or has already been decided, under one of the School's other procedures.
- 3.9. All UK employees are protected under the Public Interest Disclosure Act 1998.
- 3.10. This Policy provides an internal process for reporting, investigating and remedying any suspected wrongdoing at the School. As such, while it is accepted that in some circumstances it may be appropriate to report concerns to an external body, such as a regulator, the School recommends that the internal process be used in the first instance. However, please note that if external disclosure is necessary, the independent whistleblowing charity, Protect, operates a confidential helpline and also provides a list of prescribed regulators for reporting concerns.
- 3.11. Whistleblowing or speaking up can sometimes relate to the actions of a third party, such as a supplier or service provider. The law allows Staff to raise a concern with a third party, where they reasonably believe it relates mainly to their actions or something that is legally their responsibility. However, the School encourages reporting of such concerns internally first. Advice and guidance can be sought from the contacts listed in section 10.

#### 4. Making a disclosure

- 4.1. Any individual as defined in paragraph 2.1 may raise a concern. Although not required it can be helpful if the individual can state how they believe their concern to be in the public interest to state, the type of wrongdoing being reported (3.2) and provide supporting evidence.
- 4.2. Disclosures can be made directly with their Head of Department or Service Leader in writing or in person at a face-to-face meeting. Where reports are raised with line managers they should be referred to the relevant Head or Department or Service Leader. The person notified will aim to resolve the concern quickly and effectively or will refer the matter to the School Secretary.
- 4.3. Where the matter is more serious, where the individual feels that the person that they notified has not addressed their concern, or they prefer not to raise it with their Head of Department or Service Leader for any reason, they should raise the concerns:
  - verbally (in person or by phone) or in writing with the **School Secretary**, unless the School Secretary is the subject of the concern or is in some way implicated in it (in which case paragraph 4.7 applies).
  - through the independent whistleblowing service to which the School subscribes: EQS Integrity Line: <https://lse.eqs-integrity.org/>. This externally service enables individuals to make named or anonymous reports where their name is not provided. The system allows for two-way communication with anonymous reporters. Integrity Line provides secure hosting and is GDPR compliant and supports access on a need-to-know basis. Reports made through Integrity Line are directed to the School Secretary.
- 4.4. The person notified will aim to resolve the concern quickly and effectively or will refer the matter to the School Secretary, or the Pro-Director for Faculty Development if the concerns relate to the School Secretary, on behalf of the reporting individual.
- 4.5. Individuals making a disclosure may be advised and supported by trade union representatives.
- 4.6. Heads of Department and Service Leaders, who receive reports may seek advice and guidance from the Secretary's Division ([ethics@lse.ac.uk](mailto:ethics@lse.ac.uk)) or Human Resources ([Humanresources@lse.ac.uk](mailto:Humanresources@lse.ac.uk)).
- 4.7. Where a concern relates to the School Secretary, the reporting individual may refer the matter to the Pro-Director for Faculty Development. If the reporting individual considers it inappropriate to raise the concern with either the School Secretary or the Pro-Director for Faculty Development, they may refer the matter to the Chair of the Audit Committee.
- 4.8. All contact details are at section 10.

#### 5. Investigation And Outcome

- 5.1. In all cases where a concern is raised under section 4, the person to whom the concern is reported will acknowledge its receipt within 5 working days and keep a record of action taken. This will include an initial assessment to determine the scope of any investigation.
- 5.2. If, on preliminary examination, the concern is judged to be wholly without substance or merit and no further action will be taken or if the concern should be considered under a different School procedure the whistleblower will be informed accordingly.
- 5.3. Where appropriate the matter may be referred for investigation under the relevant School policy, grievance or disciplinary procedure.
- 5.4. The relevant officer outlined in 4.3 may appoint another person to undertake the investigation on their



behalf. Where there is an investigation, the person or persons identified as the subject of the concern will be informed of each allegation made against them and any evidence supporting it and will be allowed to comment before the investigation is concluded.

- 5.5. The School Secretary/ Pro-Director for Faculty Development/ Chair of Audit Committee will acknowledge the report within 5 working days and will keep the whistleblower informed of who is handling the matter, the progress of the investigation and its likely timescale. Timescales can vary greatly depending on the nature of the concerns, however the investigation should normally be completed and the outcome reported within three months of the disclosure.
- 5.6. The School Secretary/ Pro-Director of Faculty Development /Chair of Audit Committee will consider the need for confidentiality, keeping the details of the reporter or details of the report private. The need for confidentiality may limit the provision of specific details of the investigation or any actions taken as a result. The whistleblower and those who contribute to the investigation should treat any information about the investigation as confidential.
- 5.7. Upon the conclusion of an investigation, the School Secretary/ Pro-Director Faculty Development/ Chair of Audit Committee will let the whistleblower know the outcome. The School Secretary/ Pro-Director Faculty Development/ Chair of Audit Committee is also responsible for the submission of a report to the Audit Committee. The Audit Committee must also be made aware of any concerns dismissed after preliminary examination.

## 6. If The Whistleblower Is Not Satisfied

- 6.1. If the whistleblower is not satisfied with the way in which their concern has been handled because either:
  - a. They believe the procedures have not been followed properly;
  - b. There is evidence of prejudice or bias; or
  - c. There is further material evidence which was not available at the time the original concerns were raised;
  - d. or the decision reached was unreasonable;
- 6.2. There is a right of appeal within four weeks of receiving the outcome on these grounds only to the Chief Operating Officer, or if the allegation relates to the Chief Operating Officer, to the Director.
- 6.3. The Chief Operating Officer, (or the Director) will decide if the case meets the grounds for appeal (as set out above). If it does, they will appoint the Chair of the Audit Committee to hear the appeal. If the appeal does not meet more than one of the ground for appeal it can be dismissed. Where the Chief Operating Officer has a conflict of interest, they shall nominate a relevant officer to decide if the case meets the grounds for appeal.
- 6.4. The Chief Operating Officer (or the Director or the Chair of Audit Committee) will let the whistleblower know the outcome of the appeal. The Chief Operating Officer (or the Director) is also responsible for the submission of a report to the Audit Committee. The Audit Committee must also be made aware of any appeals dismissed after preliminary examination.

## 7. Confidentiality And Anonymity

- 7.1. The School hopes that individuals will feel able to speak up and voice whistleblowing concerns openly under this Policy. It is helpful for the School to know the identity of the whistleblower in order to conduct a fair and effective investigation.
- 7.2. The School will protect all whistleblowers' confidentiality ensuring that a minimum number of people are aware of the reporters identity, with prior consent. Failure to maintain confidentiality could result in disciplinary action. Confidentiality cannot be assured where the disclosure of the identity is required by law, for example in relation to criminal offences
- 7.3. In all instances, anonymous complaints will be investigated or acted upon under this procedure, as the person receiving the complaint sees as reasonably practicable. Investigating anonymous concerns is more difficult and the scope of the investigation will depend on the seriousness of the issue raised, the credibility of the complaint, the prospects of being able to investigate the matter, and fairness to any individual mentioned in the complaint.
- 7.4. For further independent advice, staff can seek advice from Protect, the independent whistleblowing charity, which offers a confidential helpline. Their contact details are at the end of this Policy.
- 7.5. Data stored on individuals is compliant with General Data Protection Regulations (GDPR). Further information on the data that is held can be found in the School's Information Asset Register. All queries should be directed to [GLPD.Info.Rights@lse.ac.uk](mailto:GLPD.Info.Rights@lse.ac.uk).

## 8. Protection For Whistleblowers

- 8.1. It is understandable that whistleblowers are sometimes worried about possible repercussions. As such, the School aims to encourage openness and will support Staff who raise genuine concerns under this Policy, even if they turn out to be mistaken.

- 8.2. If the School concludes that an individual has made malicious allegations, in bad faith or with a view to personal gain, that individual will be subject to disciplinary action under the School's relevant procedure.
- 8.3. Staff must not suffer any detrimental treatment as a result of raising a concern without malice, reasonably believing it to be true. Detrimental treatment includes but is not limited to dismissal, disciplinary action, victimisation, threats, attempts to identify a whistleblower or other unfavourable treatment connected with raising a concern. Whistleblower's who believe they have suffered any such treatment, are encouraged to inform the relevant contact (listed in section 10) immediately. If the detrimental treatment is not remedied, the whistleblower should raise it formally using the relevant grievance or disciplinary procedure.
- 8.4. The School has a zero tolerance approach to victimisation of whistleblowers. staff must not threaten, victimise or retaliate against whistleblowers in any way. Anyone involved in such conduct will be subject to disciplinary action.

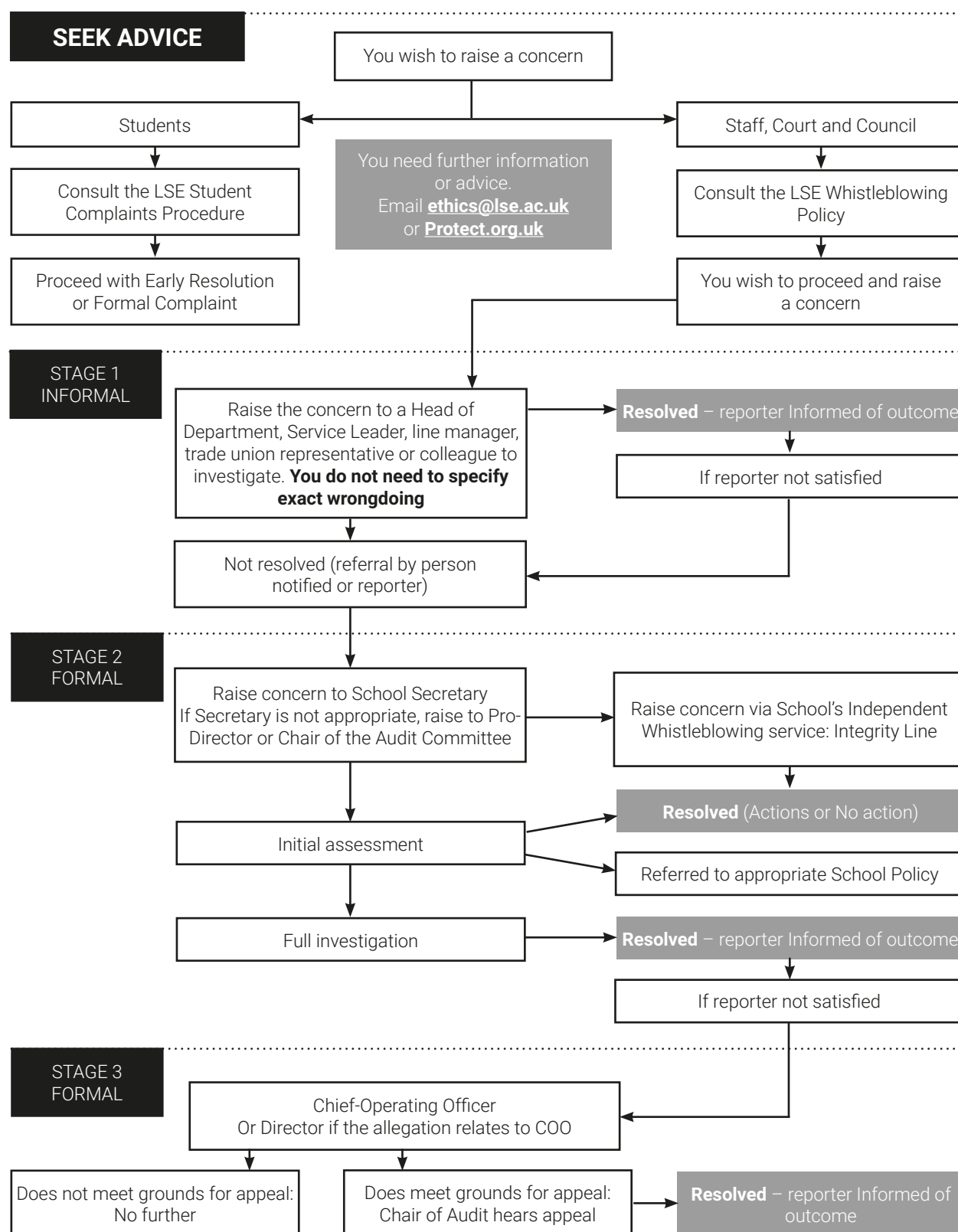
## 9. Oversight And Ownership

- 9.1. The School Management Committee (SMC) has overall responsibility for this Policy, and for reviewing the effectiveness of actions taken in response to concerns raised under this Policy. The Ethics Management Board and Audit Committee support SMC with monitoring the Policy.
- 9.2. This Policy may be amended at any time and the latest version will be available via the Policies pages of the School website..

## 10. Contacts

- 10.1 Contact addresses and numbers for those mentioned in the procedure are:

	Address	Tel	Email
School Secretary	Secretary's Office London School of Economics & Political Science Houghton Street, London WC2A 2AE	020 7955 4959	<a href="mailto:secretary@lse.ac.uk">secretary@lse.ac.uk</a> or via <a href="https://lse.eqs-integrity.org/">https://lse.eqs-integrity.org/</a>
Pro-Director Faculty Development	Directorate London School of Economics & Political Science Houghton Street, London WC2A 2AE	020 7955 7077	<a href="mailto:Directorsoffice@lse.ac.uk">Directorsoffice@lse.ac.uk</a> or via <a href="https://lse.eqs-integrity.org/">https://lse.eqs-integrity.org/</a>
Director	Directorate London School of Economics & Political Science Houghton Street, London WC2A 2AE	020 7955 6575	<a href="mailto:Directorsoffice@lse.ac.uk">Directorsoffice@lse.ac.uk</a> or via <a href="https://lse.eqs-integrity.org/">https://lse.eqs-integrity.org/</a>
Chair of Council	Private and confidential for the attention of the Chair of Council c/o Secretary's Office London School of Economics & Political Science Houghton Street, London WC2A 2AE	c/o 020 7955 7554	<a href="mailto:secretary@lse.ac.uk">secretary@lse.ac.uk</a> or via <a href="https://lse.eqs-integrity.org/">https://lse.eqs-integrity.org/</a>
Chair of Audit Committee	Private and confidential for the attention of the Chair of Audit c/o Secretary's Office London School of Economics & Political Science Houghton Street, London WC2A 2AE	c/o 020 7955 7825	<a href="mailto:secretary@lse.ac.uk">secretary@lse.ac.uk</a> or via <a href="https://lse.eqs-integrity.org/">https://lse.eqs-integrity.org/</a>
Protect (independent whistleblowing charity hotline)	The Green House 244-254 Cambridge Heath Road, London E2 9DA	020 3117 2520	<a href="mailto:whistle@protect-advice.org.uk">whistle@protect-advice.org.uk</a> or <a href="https://protect-advice.org.uk/contact-protect-advice-line/">https://protect-advice.org.uk/contact-protect-advice-line/</a>
LSE's whistleblowing service - Integrity Line	<a href="https://lse.eqs-integrity.org/">https://lse.eqs-integrity.org/</a>		



All concerns raised will be treated as **confidential**.

You will not suffer detriment if you raise a concern. However, if you make malicious allegations in bad faith or with a view to personal gain, you will be subject to disciplinary action under the School's relevant procedure.

**\* PLEASE REFER TO THE WHISTLEBLOWING POLICY FOR GROUNDS OF APPEAL**

**Review schedule:****Review interval**

3 years

**Next review due by**

May 2025

**Next review start**

Jan 2025

**Version history:**

Version	Date	Approved by	Notes
1.0	May 2016	Council	
1.1	October 2017	SMC	Minor updates
1.2	May 2018	SMC	Minor updates
1.3	May 2019	SMC	Minor updates
1.4	May 2022	SMC	Minor updates

**Links:**

Reference	Link
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**Contacts:**

Position	Name	Email	Notes
Ethics Manager	Stephanie Allison	<a href="mailto:ethics@lse.ac.uk">ethics@lse.ac.uk</a>	Author

**Communications and Training:**

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Whistleblowing/Speak up training to be provided to responsible officers and HR partners across the School;

Whistleblowing policy information included in all staff induction ethics sessions;

Whistleblowing policy referred to in the Ethics at LSE module that all staff are asked to complete.

# STUDENT DRUGS AND ALCOHOL POLICY

## 1. Introduction

- 1.1 The School is committed to upholding the highest standards of health and safety for the protection of our Students' mental and physical wellbeing, and creating an environment where Students can thrive and achieve their educational goals.
- 1.2 Drug misuse is the use of illegal drugs and the misuse, whether deliberate or unintentional, of prescribed drugs and other substances, including psychoactive substances. Drug and alcohol misuse damages physical and mental health and wellbeing, affects cognitive abilities and lifestyle, and may lead to intoxication and dependency.
- 1.3 Drug and alcohol misuse may also impact on the School and its community through increased health and safety risks; antisocial and violent behaviours; substandard academic performance and impact on an individual's ability to progress and learn. It may also raise disciplinary issues and/or be a contributory or aggravating factor in a disciplinary matter.
- 1.4 The School is committed to tackling any issues of student drug and alcohol misuse and at the same time wish to ensure that students who need help or have identified a problem get the support they require.

## 2. Policy aims and objectives

- 2.1 This policy aims to protect Students from the dangers of drug, psychoactive substances and alcohol misuse and to encourage those who have or may have a drug or alcohol problem or are at risk of addiction to seek help.
- 2.2 The School supports the prevention of drug and alcohol related problems by:
  - Providing clarity on the School's position on alcohol and drugs in order to minimise problems for students, staff and the LSE community;
  - raising awareness;
  - identifying problems at an early stage;
  - supporting those affected with alcohol or controlled substance related problems by providing clear signposting to the support available to students and encouraging students to access treatment where possible;
  - offering support to Students who seek it;
  - ensuring cases are dealt with sympathetically, fairly, and consistently;
  - taking disciplinary action.

## 3. Definitions

- 3.1 Drugs:
  - a. All controlled drugs listed in the Misuse of Drugs Act 1971 and any substance covered by the Psychoactive Substances Act 2016. This includes, but is not necessarily limited to:
    - Class A drugs include: heroin (diamorphine), cocaine (including crack), methadone, ecstasy (MDMA), LSD, and magic mushrooms.
    - Class B drugs include: amphetamines, barbiturates, codeine, cannabis, cathinones (including mephedrone) and synthetic cannabinoids.
    - Class C drugs include: benzodiazepines (tranquilisers), GHB/GBL, ketamine, anabolic steroids and benzylpiperazines (BZP).
  - b. Prescription only medicines (as determined under the Medicines Act 1968). This also includes but is not limited to nootropics, cognitive enhancement drugs (e.g. Modafinil, Ritalin and Sunifram) which are not illegal if they are prescribed by a Doctor.
- 3.2 Supply:
 

The transfer of physical control of a drug (including nootropic, cognitive enhancement drugs) to someone else. It is not important whether there is profit or benefit of any form, although this may be reflected in any decision regarding disciplinary sanction(s).
- 3.3 Alcohol misuse:
 

Alcohol misuse is a level of consumption which impacts on a student's behaviour.
- 3.4 The School recognises:
  - That if alcohol is consumed then it should be done sensibly and in moderation;
  - That excessive drinking on a regular basis or 'binge' drinking may adversely affect individual students, other students, staff or the wider LSE community.

#### 4. Legal Framework

- 4.1 The School has a legal responsibility to provide a safe and healthy environment for students, staff and visitors. Any events where alcohol is made available are also required to be managed properly.
- 4.2 Students are reminded that it is a criminal offence to produce, supply, possess, or import a controlled drug, as defined under the Misuse of Drugs Act 1971. It is also a criminal offence to produce, supply, possess with the intent to supply, or import psychoactive substances, as defined under the Psychoactive Substances Act 2016. The supply and consumption of alcohol are subject to the restrictions of the Alcohol Licensing Act 1964.
- 4.3 Licence holders, which may include the School and its staff, have a legal duty to manage premises responsibly and have the authority to ban people for their antisocial behaviour from their bars and other places where alcohol is on sale. In addition, this duty encompasses the need to ensure public order when the School provides alcohol that is not necessarily on sale; for example when holding student receptions where alcohol may be served. Any anti-social behaviour at such event(s) could result in the School asking individual(s) to be removed and barred from such event(s). Students are also not permitted to bring their own alcohol into areas that have been licensed. Those areas can be found under the tab 'Table of locations and capacities of licensed rooms' in the following link: <https://info.lse.ac.uk/staff/services/catering/order-catering> and also in the Policy on provision of informal hospitality catering: <https://info.lse.ac.uk/staff/services/catering/assets/documents/policy-on-provision-of-informal-hospitality-catering.pdf>

#### 5. Disciplinary rules

- 5.1 As such, the School prohibits, and will not condone the use or supply of illegal drugs on any of its premises and/or Halls of Residence. Any such use or supply of illegal drugs is a major misconduct offence in its own right.
- 5.2 For the avoidance of doubt, the types of drug or alcohol misuse related conduct most likely to breach Conditions of Registration and be considered under the Disciplinary Procedure for Students (the list is not exhaustive) can be found at Appendix C of that Procedure. Students will be signposted to support available for them whilst they may be subject to a disciplinary matter.
- 5.3 Those found in breach will be subject to disciplinary actions either under the Disciplinary Procedure for Students [disProStu.pdf \(lse.ac.uk\)](#) or Fitness to study Policy [fitStuPol.pdf \(lse.ac.uk\)](#) or the Student Accommodation Disciplinary Code [StuAccomDiscCo.pdf \(lse.ac.uk\)](#) or a combination of each, as appropriate, and may also be referred to the Police.

#### 6. Support available

- 6.1 Students who believe to have an alcohol or drug-related problem or are worried about another student at LSE, should seek specialist advice and support as soon as possible.
- 6.2 The School's Student Counselling Service offers a private and confidential space for Students to discuss anything which is impacting their psychological wellbeing and daily life. The service is staffed with trained counselling professionals, who offer one-to-one appointments and workshops which run throughout the year. Full information on this Service and how to access it is available on the School website: <https://info.lse.ac.uk/current-students/student-wellbeing/student-counselling/about-counselling>.
- 6.3 Students may also speak with a Mental Health Advisors through the School DWS (<https://info.lse.ac.uk/current-students/student-wellbeing/disability-wellbeing/speak-with-an-adviser>).
- 6.4 In addition to counselling and mental health adviser support, there is also support available through the School Peer Supporters. Peer Supporters are trained student volunteers who can offer support, give a fresh perspective and listen to whatever is troubling a student, from academic stresses to relationships. Students can explore the following page (<https://info.lse.ac.uk/current-students/student-wellbeing/students-supporting-students/peer-support-scheme>) to learn more about how Peer Support could help them, and how to contact a Peer Supporter.
- 6.5 Students can also access a 24/7 out of hours mental health support line sponsored by the School via SpectrumLife. All calls are answered by clinically trained counsellors or psychotherapists. Students can talk to them about anything, including stress, anxiety, low mood, financial worries, loss and grief, relationship problems, and substance abuse issues.
- 6.6 The School offers several other external counselling/therapy resources, free or at a low cost, that Students can access (<https://info.lse.ac.uk/current-students/student-wellbeing/student-counselling/support-outside-lse>).
- 6.7 The LSESU. The LSE Students' Union Advice Service is independent from LSE and provides a safe, non-judgemental and encouraging environment for students to seek support on a range of topics. Its advisors are trained to both provide tailored individual support and have an extensive knowledge of external specialist support options. Details of the Advice Service can be found on this page (<https://www.lsesu.com/support/advice/>). You can find more information about the support that the SU provides and recommends for students with drug and alcohol issues here (<https://www.lsesu.com/support/drugandalcoholsupport/>).

6.8 External Support. There is also external support available at the following links:

- Drugs and Me: [The Home of Harm Reduction \(drugsand.me\)](https://www.drugsandme.org/)
- Know the score: [Find Out About Drugs - Know the Score](https://www.knowthescore.org/)
- Talk to Frank: <https://www.talktofrank.com/>
- NHS Drug Addiction: Getting help: <https://www.nhs.uk/live-well/healthy-body/drug-addiction-getting-help/>
- Drugwise: <https://www.drugwise.org.uk>
- The Mix: essential support for under 25's: <https://www.themix.org.uk/drink-and-drugs>
- Alcohol Change UK: [Alcohol harms. Time for change. | Alcohol Change UK](https://www.alcoholchange.org.uk/)
- NHS Alcohol Support: <https://www.nhs.uk/live-well/alcohol-support/>
- Drinkaware: <https://www.drinkaware.co.uk/tools/track-and-calculate-units-app>

#### Review schedule:

Review interval	Next review due by	Next review start
2 years	1 September 2023	17 May 2023

#### Version history:

Version	Date	Approved by	Notes
2	31st August 2021	SMC	Authors Refel Ismail (Senior Legal Counsel) and Mariachiara Valsecchi (legal Counsel)
1	25th June 2002	Council	Author Kevin Haynes (Head of Legal) k.j.haynes@lse.ac.uk

#### Links:

Reference	Link
Disciplinary Procedure for Students	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/disProStu.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/disProStu.pdf</a>
Student Complaints procedure	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/comPro.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/comPro.pdf</a>
LSE Student Accommodation	
Disciplinary Code	<a href="#">StuAccomDiscCo.pdf (lse.ac.uk)</a>
Fitness to Study Policy	<a href="#">fitStuPol.pdf (lse.ac.uk)</a>
Policy and Provision of Informal hospitality catering	<a href="https://info.lse.ac.uk/staff/services/catering/assets/documents/policy-on-provision-of-informal-hospitality-catering.pdf">https://info.lse.ac.uk/staff/services/catering/assets/documents/policy-on-provision-of-informal-hospitality-catering.pdf</a>
Health and Safety Policy	<a href="http://www.lse.ac.uk/intranet/LSEServices/healthAndSafety/pdf/SafetyPolicy.pdf">http://www.lse.ac.uk/intranet/LSEServices/healthAndSafety/pdf/SafetyPolicy.pdf</a>
The Ethics Code	<a href="https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Ethics/EthicsCodeA5postcard.pdf">https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Ethics/EthicsCodeA5postcard.pdf</a>

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#### Communications and Training:

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Consider training at key parts of the academic year and any joint training with the SU.



# LIBRARY RULES

## Admission to the Library

- The London School of Economics and Political Science exists for the purpose of public education. The School is a private institution and retains the right to revoke the permission of people to enter and use the estate if they are engaging in behaviour that is criminal, prejudices public safety, breaches the School's rules and procedures or diminishes or disrupts the experience of students through the misuse of School facilities.
- The Library is open for the purpose of study and research to current members of the School and other groups and individuals according to the Library's admissions policy.
- All users must possess a current Library card and show it on request to Library staff and Security. Library users are responsible for the use of their Library card and should not allow others to use it. Users who are found to have allowed entry to unauthorised people will be subject to disciplinary procedures (see Enforcement below).
- Applicants for a Library card will be required to provide evidence of identification and status. See the [Join the Library](#) page for full admissions policy details.
- Users who are accompanied by children under 12 should ask to speak to a Duty Manager.

## Conduct within the Library

- Noise, disturbance or inappropriate behaviour is prohibited, including abusive or threatening behaviour to Library staff and other Library users.
- No food is permitted in the building, apart from in the Escape areas outside the turnstiles. Anyone found to be eating will be asked to dispose of the food or take it to one of the appropriate areas on the ground floor. Food left unattended will be removed.
- Drinks may be consumed as long as they are non-alcoholic and in non-spill containers..
- Smoking (including smoking of electronic and herbal cigarettes) is not permitted in the Library building or outside near external doorways.
- Phones can be used in the Library but disruptive mobile phone use is prohibited. Set your phone to silent and do not use it in the red Silent Zones.
- Library users are asked to treat other users with consideration.
- No material other than official notices from the Library or the School may be distributed or posted within the Library without permission.
- Furniture, fittings or equipment must not be misused or their arrangement altered.
- You should not attempt to reserve study spaces by leaving personal belongings at unattended desks. Belongings may be cleared to allow others to use study places. You are strongly advised not to leave valuables even if you will be away for a short time.
- Study space and group study room bookings take precedent over casual use of space and rooms. A user who has booked a study space or room can expect any other user occupying it, at the reserve time, to vacate it.
- You may be asked to present your possessions for inspection by staff.
- Any damage or defacement of materials is prohibited and if you are found damaging material you will be subject to disciplinary procedures. Please report any instances of such defacement to staff.
- Photography is not permitted without permission - via [library.enquiries@lse.ac.uk](mailto:library.enquiries@lse.ac.uk) in the first instance.

## Loan facilities and terms of borrowing

- Members of LSE and certain categories of external users may borrow from the Library. [Details of borrowing privileges](#) are available.
- Loans may normally be renewed if the book is not required by another user.
- Borrowing from the Course Collection is restricted to LSE staff and students. External users may have access to the Course Collection for reference use during vacation.
- A current Library card is required whenever borrowing items.
- Library materials on loan to one person may not be transferred to another. The person in whose name the loan is made is solely responsible for the safekeeping and due return of items loaned.
- All Library materials borrowed must be returned within the stipulated loan period. Failure to do so will result in application of appropriate sanctions.
- Items on loan may be recalled at any time if required by another user. Failure to return recalled books on time will result in application of appropriate sanctions.
- Sanctions to be applied for the late return of borrowed or recalled material will be determined from time to time by the Library's management.
- Late return of materials borrowed, or failure to comply with sanctions, may result in suspension of borrowing privileges and access, in the case of external user categories.

## 206 School Regulations

- Where an item is lost or stolen, returned damaged, or not returned after a reasonable period of time, the borrower will be charged for the item at a level to be determined by the Library's management. An item charged for in this way remains the property of the Library.
- No book or other Library property may be taken from the building at any time without authority.
- Library users allocated a book locker may keep in it Library materials recorded as on loan to them. Checks of the lockers will be carried out, from time to time, by Library staff and any non-issued Library materials found will be removed. In such circumstances the individual concerned will automatically lose the right to use the facility. Locker keys must be returned by the date stipulated. Beyond this date, key deposits will not be refunded.
- Special rules (displayed in the Archives Reading Room) apply to the use of rare books and archives in the Archives Reading Room or administered by its staff.

### Copying in the Library

- LSE Library users must comply with UK copyright law when copying any Library and archive material and in all copying carried out within the Library, whether by using the Library's photocopiers or by any other means (for example, digital photography).
- Under the Copyright Licensing Agency's Higher Education licence, up to the following may be copied by staff and students:
  - One chapter from a book
  - One article from a journal issue
  - One paper from a set of conference proceedings
  - One report of a single case from a volume of judicial proceedings
  - Or 10% of the total publication, whichever is the greater
- Current copyright licensing rules for Library material are displayed next to Library photocopiers and copyright guidelines for archive and historic print material are displayed on desks in the archives reading room.
- If you need help with copying, please contact us for further assistance. There are exceptions within copyright law which permit the reuse of material within certain parameters. There are also exceptions which allow the making of accessible copies for disabled people. A summary of legal exceptions can be found in the Intellectual Property Office's guidance on Exceptions to copyright.

### Data protection

Article 89 of EU General Data Protection Regulation (GDPR 2018) governs how personal data should be handled and is applied to the use of information relating to living individuals found in our archive collections. Library users are responsible for ensuring that any data obtained relating to living individuals is treated in accordance with the principles of GDPR. Guidance on the handling of personal data is displayed in the archives reading room and there is [online guidance](#).

Library users should bear in mind the following when handling personal data:

- GDPR only applies to the personal data of living individuals.
- Do not use personal data to support measures or decisions concerning an individual.
- Do not use personal data to cause substantial damage or distress to individuals.
- Whenever possible depersonalise or anonymise personal data.
- Keep personal data secure.
- Do not disclose personal data to anyone else without ensuring you do so in accordance with the GDPR.

Read further information about the use of personal data in the [Information Commissioner's Guide to the General Data Protection Regulation \(GDPR\)](#).

Read further [information about using archives and GDPR on the National Archives' website](#). Use of information technology facilities within the Library

- Use of information technology facilities within the Library is governed by the [School's Conditions of Use of such services](#). By accessing and/or using the IT facilities, you agree to be bound by these Conditions of Use.
- The software, databases, websites and other electronic resources accessible via the Library are either owned by LSE or owned by various publishers and other third parties. Users may only access and use these resources in accordance with any applicable terms of use including any relevant licence.

### Enforcement

- Failure to observe any of the rules may be dealt with by a Library manager.
- Any user who is unhappy with a decision of a member of Library staff may appeal to the [Director of LSE Library](#), as set out in the Library's Feedback Policy.

**Library Feedback Policy**

We strive to provide excellent customer service. Your feedback is welcomed and used to improve our services.

If you experience a problem inside the Library please report it to us as soon as possible. If we cannot resolve the issue immediately, we will explain why.

If you would like to offer feedback, please **contact us by email**. We will reply within two working days. Where necessary, your feedback may need to be reviewed by a Library manager who can investigate further and make recommendations. If this happens, we will let you know straight away and you will receive a response within ten working days.

If you are unhappy with our reply, a senior manager will review your feedback and provide a further response within ten working days.

If you remain unhappy: LSE staff and students are advised to follow the **School Service Complaints Procedure** [PDF]; and other Library users should put their complaints in writing to the **Director of LSE Library**. Please include full details of the issue and information about your attempts to resolve it.

We reserve the right not to investigate complaints that we consider to be frivolous (unfounded, trivial and persistent) or malicious (with vindictive motivation).

**Library Incidents Policy**

Our staff expect to be treated with respect by users. The Library rules provide a code of conduct expected by all Library users.

Incidents where staff feel users have behaved in an abusive or threatening manner will be reported and investigated.

The School's **disciplinary procedure** will be used for incidents involving students where the matter cannot be resolved informally at a local level.

LSE is committed to a working and learning environment where people can achieve their full potential. The School's **harassment policy** provides a mechanism to resolve complaints where it is felt that harassment has occurred.

# INFORMATION SECURITY POLICY

## Foreword to the Information Security Policy

The current era has seen a massive change in the way humans generate, store and exchange information. It has also profoundly altered the terms by which we interact with each other, not just as individuals, but also within and between institutions, societies and nations. We have accrued great benefits from this new era, but it brings with it profound challenges in the areas of security and privacy, which have been reflected in the growth of legislation around the globe concerning the holding of information.

As a leading higher education institution committed to both high quality teaching and research, LSE has an ethical, legal and professional duty to ensure that the information it holds conforms to the principles of confidentiality, integrity and availability. We must ensure that the information we are responsible for is safeguarded against inappropriate disclosure; is accurate, timely and attributable; and is available to those who should be able to access it.

The Information Security Policy below provides the framework by which we take account of these principles. Its primary purpose is to enable all members of the LSE community to understand both their legal and ethical responsibilities concerning information, and empower them to collect, use, store and distribute it in appropriate ways.

This policy is the cornerstone of LSE's on-going commitment to enhance and clarify our information security procedures. It has my full support and I encourage all LSE staff and students to read it and abide by it in the course of their work.

Dame Minouche Shafik,  
Director

## 1. INTRODUCTION

The confidentiality, integrity and availability of information are critical to the functioning and good governance of LSE. Failure to adequately secure information increases the risk of financial and reputational losses from which it may be difficult for LSE to recover.

This information security policy outlines LSE's approach to information security management. It provides the guiding principles and responsibilities necessary to safeguard the security of the School's information systems. Supporting policies, codes of practice, procedures and guidelines provide further details.

LSE is committed to a robust implementation of Information Security Management. It aims to ensure the appropriate confidentiality, integrity and availability of its systems and data, including proactive measures to ensure our IT environment is built, maintained and governed in the right ways. The principles defined in this policy will be applied to all electronic information assets for which the LSE is responsible.

LSE is specifically committed to preserving the confidentiality, integrity and availability of documentation and data supplied by, generated by and held on behalf of third parties pursuant to the carrying out of work agreed by contract.

### 1.1 Objectives

The objectives of this policy are to:

1. Provide an information security framework covering all LSE information systems (including but not limited to all Cloud environments commissioned or run by LSE, computers, storage, mobile devices, networking equipment, software and data) and to mitigate the risks associated with the theft, loss, misuse, damage or abuse of these systems. It requires that:
  - a. The resources required to manage such systems will be made available
  - b. Continuous improvement of LSE's Information Security Management System will be undertaken
2. Make certain that users are aware of and comply with all current and relevant UK and (where appropriate) EU or other legislation.
3. Provide the principles by which a safe and secure information systems environment can be established for staff, students and any other authorised users.
4. Ensure that all users understand their responsibilities for protecting the confidentiality and integrity of the data that they handle.
5. Protect LSE from liability or damage through the misuse of its IT facilities.
6. Maintain research data and other confidential information provided by suppliers at a level of security commensurate with its classification a. including upholding legal and contractual requirements around information security.
7. Respond to changes in the context of the organisation as appropriate, initiating a cycle of continuous improvement.

### 1.2 Scope

This policy is applicable to all staff, students, other members of the School and third parties who interact with information held by LSE and the information systems used to store and process it.

This includes, but is not limited to:

- Cloud systems developed or commissioned by LSE,
- systems or data attached to LSE networks,
- systems managed by LSE,
- mobile devices used to connect to LSE networks or hold LSE data,
- data over which LSE holds the intellectual property rights,
- data over which LSE is the data controller or data processor (wherever held),

## 2. Policy

### 2.1 Information security principles

The following information security principles provide overarching governance for the security and management of information at LSE.

1. Information should be classified according to an appropriate level of confidentiality, integrity and availability (see Section 2.3. Information Classification) and in accordance with relevant legislative, regulatory and contractual requirements.
2. Users with responsibilities for information (see Section 3. Responsibilities) must:
  - a. ensure the classification of that information is established;
  - b. must handle that information in accordance with its classification level;
  - c. must abide by LSE's policies, procedures, and any contractual requirements.
3. All users covered by the scope of this policy (see Section 1.2. Scope) must handle information appropriately and in accordance with its classification level.
4. Information should be both secure and available to those with a legitimate need for access in accordance with its classification level.
  - a. Access to information will be on the basis of least privilege and need to know.
5. Information will be protected against unauthorized access and processing.
6. Breaches of this policy must be reported (see Section 2.7. Incident Handling).
7. Information security provision and the policies that guide it will be regularly reviewed, including through the use of annual external audits and penetration testing.
8. Explicit Information Security Management Systems (ISMSs) run within the School will be appraised and adjusted through the principles of continuous improvement.

### 2.2 Legal & Regulatory Obligations

1. The London School of Economics has a responsibility to abide by and adhere to all current UK and (where appropriate) EU legislation as well as regulatory and contractual requirements.
2. A non-exhaustive summary of the legislation that contributes to the form and content of this policy is provided in Appendix A.

### 2.3 Information Classification

1. The following table provides a summary of the information classification levels that have been adopted by LSE and which underpin LSE's 8 principles of information security.
2. These classification levels explicitly incorporate the General Data Protection Regulation's definitions of Personal Data and Special Categories of Personal Data, as laid out in LSE's **Data Protection Policy**, and are designed to cover both primary and secondary research data.
3. The **Data Classification Standard** provides detailed information on information classification levels and appropriate security controls.
  - a. Information on appropriate encryption techniques for securing Confidential data can be found on the **LSE website**.
4. Information may change classification levels over its lifetime, or due to its volume – for instance:
  - a. student grades classed as Confidential prior to release become Public after release.
  - b. NHS patient data aggregated to a higher level (so that, for instance, there is one observation for each GP Practice, or Hospital) is considered Confidential if any observations created using 5 or fewer patient-level observations are present,
    - i. but is not considered confidential if any such observations are either not present, or are dropped from the dataset
  - c. A dataset of names, addresses and telephone numbers that grows over 1000 records moves from Restricted to Confidential

Security Level	Definition	Examples	FOIA2000 status
1. Confidential	Normally accessible only to specified members of LSE staff. Should be held in an encrypted state outside LSE systems; may have encryption at rest requirements from providers.	<ol style="list-style-type: none"> <li>1. GDPR-defined Special Categories of personal data (racial/ethnic origin, political opinion, religious beliefs, trade union membership, physical/mental health condition, sexual life, criminal record) including as used as part of primary or secondary research data;</li> <li>2. patient-level observations;</li> <li>3. aggregated patient data containing observations created using 5 or fewer patient-level observations;</li> <li>4. passwords;</li> <li>5. large aggregates of personally identifying data (&gt;1000 records) including elements such as name, address, telephone number.</li> </ol>	Subject to significant scrutiny in relation to appropriate exemptions/ public interest and legal considerations
2. Restricted	Normally accessible only to specified and / or relevant members of LSE staff or the student body	<ol style="list-style-type: none"> <li>1. GDPR-defined Personal Data (information that identifies living individuals including home / work address, age, telephone number, schools attended, photographs);</li> <li>2. Name, email, work location, work telephone number;</li> <li>3. reserved committee business;</li> <li>4. draft reports, papers and minutes;</li> <li>5. systems</li> <li>6. internal correspondence</li> <li>7. information held under licence</li> <li>8. company policy and procedures (as appropriate to the subject matter)</li> </ol>	Subject to significant scrutiny in relation to appropriate exemptions/ public interest and legal considerations.
3. Public	Accessible to all members of the public	<ol style="list-style-type: none"> <li>1. Annual accounts,</li> <li>2. minutes of statutory and other formal committees,</li> <li>3. pay scales etc.</li> <li>4. Experts' Directory</li> <li>5. Course information</li> <li>6. Information available on the LSE website or through the LSE's Publications Scheme.</li> <li>7. company policy and procedures (as appropriate to the subject matter)</li> </ol>	Freely available on the website or through the LSE's Publication Scheme.

## 2.4 Suppliers

All LSE's suppliers will abide by LSE's Information Security Policy, or otherwise be able to demonstrate corporate security policies providing equivalent assurance. This includes:

- when accessing or processing LSE assets, whether on site or remotely
- when subcontracting to other suppliers.

## 2.5 Cloud Providers

Under the GDPR, a breach of personal data can lead to a fine of up to 4% of global turnover. Where LSE uses Cloud services, it retains responsibility as the data controller for any data it puts into the service, and can be fined for a data breach, even if this is the fault of the Cloud service provider. LSE also bears responsibility for contacting the Information Commissioner's Office concerning any breach of its data, as well as any affected individual. LSE must therefore be able to judge the appropriateness of a Cloud service provider's information security provision. This leads to the following stipulations:

1. All providers of Cloud services to LSE must respond to LSE's Cloud Assurance Questionnaire prior to a service being commissioned, in order for LSE to understand the provider's information security provision.

2. Cloud services used to process personal data will be expected to have ISO27001 certification or equivalent controls, with adherence to the standard considered the best way of a supplier proving that it has met the GDPR principle of privacy by design, and that it has considered information security throughout its service model.
3. Any request for exceptions, where the standards of security cannot be demonstrated to meet ISO27001 will be considered by the Risk Manager and the Chief Operating Officer.
- 2.6 Compliance, Policy Awareness and Disciplinary Procedures
  1. Compliance with this policy is mandatory.
  2. Mandatory user awareness training will accompany this policy.
  3. All current staff, students and other authorised users will be informed of the existence of this policy and the availability of supporting policies, codes of practice and guidelines.
  4. Any security breach will be handled in accordance with all relevant School policies, including the **Conditions of Use of IT Facilities at the LSE** and the appropriate disciplinary policies.
- 2.7 Incident Handling
  1. If a member of the School is aware of an information security incident then they must report it to the DTS Service Desk at [tech.support@lse.ac.uk](mailto:tech.support@lse.ac.uk) or telephone 020 7107 5000.
  2. Breaches of personal data will be reported to the Information Commissioner's Office by LSE's Data Protection Officer. The DPO can be contacted at [glpd.info.rights@lse.ac.uk](mailto:glpd.info.rights@lse.ac.uk).
  3. All members of the School Community must report instances of actual or suspected phishing to [phishing@lse.ac.uk](mailto:phishing@lse.ac.uk)
- 2.8 Supporting Policies, Codes of Practice, Procedures and Guidelines
  1. Supporting policies have been developed to strengthen and reinforce this policy statement. These, along with associated codes of practice, procedures and guidelines are published together and are available on LSE's **website**.
  2. All staff, students and any third parties authorised to access LSE's network or computing facilities are required to familiarise themselves with these supporting documents and to adhere to them in the working environment.
- 2.9 Review and Development
  1. This policy will be reviewed annually by the Information Governance Management Board (IGMB) and updated regularly to ensure it remains appropriate in the light of any relevant changes to the law, organisational policies or contractual obligations.
  2. Additional policy may be created to cover specific areas.

### 3. Responsibilities

#### Members of LSE:

All members of LSE, LSE associates, agency staff working for LSE, third parties and collaborators on LSE projects will be users of LSE information. This carries with it the responsibility to abide by this policy, supporting policies and relevant legislation. No individual should be able to access information to which they do not have a legitimate access right. Notwithstanding systems in place to prevent this, no individual should knowingly contravene this policy, nor allow others to do so. To report data breaches, please see Section 2.5: *Incident Handling*

#### Business Led Technology Teams:

Responsible for the information systems (e.g. HR/ Registry/ Finance) both manual and electronic that support LSE's work. This includes ensuring that data is appropriately stored, that the risks to data are appropriately understood and either mitigated or explicitly accepted, that the correct access rights have been put in place, with data only accessible to the right people, and ensuring there are appropriate backup, retention, disaster recovery and disposal mechanisms in place.

#### Principal Investigators / Project administrators:

Responsible for the security of information produced, provided or held in the course of carrying out research, consultancy or knowledge transfer activities. This includes ensuring that data is appropriately stored, that the risks to data are appropriately understood and mitigated, that the correct access rights have been put in place, with data only accessible to the right people, and ensuring there are appropriate backup, retention, disaster recovery and disposal mechanisms.

#### Professional service leads, Departmental managers / Line managers:

Responsible for specific area of LSE work, including all the supporting information and documentation that may include working documents/ contracts/ staff or student information.



### Head of Research Division

Signs off LSE research contracts and is responsible for providing the assurance that any mandated security measures for research data are met.

### School Secretary

Responsible for LSE compliance with the General Data Protection regulation

### Records Manager / Data Protection Officer

Responsible for data protection and records retention issues. Breach reporting to ICO

### DTS:

Responsible for ensuring that the provision of LSE's IT infrastructure, cloud environments and applications is consistent with the demands of this policy and current good practice.

### Head of Security:

Responsible for physical aspects of security.

### Cyber Security Team:

Responsible for assurance activities, pen testing, information security policies and specialist information security advice. Incident response for cyber security issues. User awareness.

### Information Governance Management Board

Responsible for approving information security policies

### Data Technology and Digital Management Board

Responsible for approving technology policies.

### Distribution list:

Name	Title	Department
Laura Dawson	Director of DTS	DTS
Information Governance Management Board		

### External document references:

Title	Version	Date	Author
Data Protection Policy	3.8	17/11/20	Rachael Maguire
ISO/IEC 27001:2013		01/10/2013	ISO/IEC

### Version history:

Version	Date	Comments
12/10/16	3.13	Changed 'Purpose' to 'Objectives'. Made more explicit the commitment to continual improvement, including via internal audits and pen testing. Included explicit reference to NHS patient data in the data classification. Added in commitment to satisfy third party data providers' commitments. Included references to the GDPR. Alterations as per recommendations of LSE ISO27001 certification auditors.
21/02/17	3.14	Updated Objectives to include 'support for any ISMS, and commitment to continuous improvement of any ISMS. Also added in a clause about suppliers abiding by our information security policy.
22/05/17	3.15	Included a further objective (6) to keep research data and supplier data in a state commensurate with its classification.
13/06/17	3.16	Inclusion of new foreword signed by Director Dame Minouche Shafik.
23/11/17	3.17	Adjusted to more specifically address GDPR requirements. New cloud supplier section incorporated. Submitted to ISAB for annual review.
07/02/18	3.18	Updated to reflect new information classification standard
11/01/19	3.19	Removal of ISAB (replaced by IGMB). Some tidy-up and correction of out of date references.
18/05/20	3.20	Updating of URLs. Updated 1.1.1, 1.1.2, 2.2, 2.7. Added in COO as Caldicott Guardian.
01/06/20	3.21	Updated references and links. Modernised a number of sections including responsibilities. Reduced the total number of words by removing superfluities and repetition. Removal of whistle blowing policy – not strictly a cyber security issue
03/05/22	3.22	

### Contacts:

Position	Name	Email	Notes
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### Communications and Training:

Will this document be publicised through Internal Communications? **Yes on website**

Will training needs arise from this policy **Yes**

If Yes, please give details:

The Cyber Security Awareness training must be completed by all staff.

## APPENDIX A: SUMMARY OF RELEVANT LEGISLATION

### The Computer Misuse Act 1990

Defines offences in relation to the misuse of computers as:

1. Unauthorised access to computer material.
2. Unauthorised access with intent to commit or facilitate commission of further offences.
3. Unauthorised modification of computer material.

### The Freedom of Information Act 2000

The Freedom of Information Act 2000 (FOIA2000) is a general right of public access to all types of recorded information held by public authorities in order to promote a culture of openness and accountability.

### Regulation of Investigatory Powers Act 2000

The Regulation of Investigatory Powers Act 2000 regulates the powers of public bodies to carry out surveillance and investigation. It covers the interception and use of communications data and can be invoked in the cases of national security, and for the purposes of detecting crime, preventing disorder, public safety and protecting public health.

### Defamation Act 1996

"Defamation is a false accusation of an offence or a malicious misrepresentation of someone's words or actions. The defamation laws exist to protect a person or an organisation's reputation from harm.<sup>1</sup>"

### Obscene Publications Act 1959 and 1964

The law makes it an offence to publish, whether for gain or not, any content whose effect will tend to "deprave and corrupt" those likely to read, see or hear the matter contained or embodied in it. This could include images of extreme sexual activity such as bestiality, necrophilia, rape or torture.<sup>2</sup>

### Protection of Children Act 1978, Criminal Justice Act 1988, Criminal Justice and Immigration Act 2008

The Protection of Children Act 1978 prevents the exploitation of children by making indecent photographs of them and penalises the distribution and showing of such indecent photographs. Organisations must take appropriate steps to prevent such illegal activities by their workers using their digital systems and networks.

The definition of 'photographs' include data stored on a computer disc or by other electronic means which is capable of conversion into an image.

It is an offence for a person to [...] distribute or show such indecent photographs; or to possess such indecent photographs, with a view to their being distributed or shown by himself or others.

Section 160 of the Criminal Justice Act 1988 made the simple possession of indecent photographs of children an offence. Making an indecent image of a child is a serious arrestable offence carrying a maximum sentence of 10 years imprisonment. Note: The term "make" includes downloading images from the Internet and storing or printing them out.<sup>3</sup>

### Terrorism Act 2006

The Terrorism Act 2006 makes it an offence to write, publish or circulate any material that could be seen by any one or more of the persons to whom it has or may become available, as a direct or indirect encouragement or other inducement to the commission, preparation or instigation of acts of terrorism.

It also prohibits the writing, publication or circulation of information which is likely to be useful to any one or more persons in the commission or preparation of terrorist acts or is in a form or context in which it is likely to be understood by any one or more of those persons as being wholly or mainly for the purpose of being so useful.

In addition, it prohibits the glorification of the commission or preparation (whether in the past, in the future or generally) of terrorist acts or such offences; and the suggestion that what is being glorified is being glorified as conduct that should be emulated in existing circumstances.

### Counter-Terrorism and Security Act 2015 – Statutory Guidance

The statutory guidance accompanying the Counter-Terrorism and Security Act 2015 (Prevent duty guidance for higher education institutions in England and Wales [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/445916/Prevent\\_Duty\\_Guidance\\_For\\_Higher\\_Education\\_England\\_Wales\\_.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445916/Prevent_Duty_Guidance_For_Higher_Education_England_Wales_.pdf)) requires LSE to have "due regard to the need to prevent people from being drawn into terrorism." The Act imposes certain duties under the Prevent programme, which is aimed at responding to "the ideological challenge we face from terrorism and aspects of extremism, and the threat we face from those who promote these views." The Prevent programme also aims to provide "practical help to prevent people from being drawn into terrorism and ensure they are given appropriate advice and support". LSE must balance its existing legal commitments to uphold academic freedom and (under the Education (No. 2) Act 1986) freedom of speech within the law against the new Prevent duty, and seek to ensure that its IT facilities are not used to draw people into terrorism.

### General Data Protection Regulation and DPA 2018

The GDPR has applied to the UK from 25 May 2018. The GDPR reinforces and extends data subjects' rights as laid out in the Data Protection Act (1998), and provides additional stipulations around accountability and governance, breach notification and transfer of data. It also extends the maximum penalties liable due to a data breach, from £500,000 to 4% global turnover.

The GDPR requires LSE to maintain an Information Asset Register, to ensure where personal data is voluntarily gathered people are required to explicitly opt in, and can also easily opt out. It requires data breaches to be reported to the Information Commissioner's Office within 72hrs of LSE becoming aware of their existence.

### Footnotes

- <sup>1</sup> "Defamation", Paradigm, (2008) <http://www.paradigm.ac.uk/workbook/legal-issues/defamation.html> [accessed 01/05/15]
- <sup>2</sup> "Obscene Publications Act 1959 and 1964", Internet Watch Foundation, <https://www.iwf.org.uk/hotline/the-laws/criminally-obscene-adult-content/obscene-publications-act-1959-and-1964> [accessed 01/05/15]
- <sup>3</sup> "Protection of Children Act 1978 (and 1999)", EURadar (2011), <http://eradar.eu/protection-of-children-act-1978/> [accessed 01/05/15]

## CONDITIONS OF USE OF IT FACILITIES AT THE LSE

These Conditions of Use apply to all members of the LSE Community, including, but not limited to, staff, students, and contractors. By accessing and/or using the IT Facilities, you agree to be bound by these Conditions of Use including all documents referred to in them, and you agree to adhere to the requirements.

Your attention is particularly drawn to the section on working practices and the penalties including expulsion / dismissal from the School for breach of these Conditions of Use.

### General

1. You must not carry out any action (including loading any software on to the IT Facilities) that shall or may interfere with the normal working of the IT Facilities or may interfere with or disrupt other users' use of the IT Facilities or access, corrupt or modify any other user's data without their consent.
2. You must not deliberately introduce a virus, worm, trojan horse, Spyware, or other similar code nor take any action to circumvent, or reduce the effectiveness of, any anti-virus or other malicious software detection, removal and protection precautions established by DTS.
3. You are responsible for all use of your username. You should not make your username or password available to anyone else nor should you use any other person's username.
4. You may use the IT Facilities for commercial activities only if you are an employee of the School and such use forms part of your duties of employment. You should raise any queries on whether a commercial activity using the IT Facilities is permitted with your line manager before commencing the relevant use of the IT Facilities.
5. DTS will block any games traffic that negatively affects other users' experience, and will not provide support for any gaming activities.
6. You must not tamper with the configuration of any LSE computer or any cables or peripheral devices attached to LSE computers.
7. You must at all times adhere to the policies and procedures of the London School of Economics, in addition to all applicable laws.

### Legal Requirements and Prohibited Uses

8. You must not use the IT Facilities in any way that could expose you or the School to any criminal or civil liability.
9. You must use the IT Facilities in accordance with the following:
  - a. software - software should always be used in accordance with the terms of the relevant licence, and copying software without the licence holder's permission is prohibited.
  - b. rights in content - do not use third party text, images, sounds, trademarks and logos in materials such as emails, documents and web pages without the consent of the rights holder.
  - c. offensive material – you must not use the IT Facilities to access, store or distribute material that is obscene, indecent or pornographic. If the School suspects that you have accessed material that might give rise to criminal liability, it may notify the police. If staff or students create, store or transmit such material in the course of their research, written permission must be sought in advance from the appropriate Head of Department or the School Secretary. In all cases, access to any material must not be in breach of paragraph 7 above.
  - d. discrimination and harassment - you must not create, distribute or access material that is unlawfully discriminatory, including on the grounds of age, sex, sexual orientation, race, gender identity, disability, religion/belief, or any other protected characteristic; that is likely to incite any form of violence or hatred; or that is likely to cause harassment, alarm or distress.
  - e. computer misuse - unauthorised access to accounts (including stealing or misusing a password), programs and/or data and all forms of hacking are prohibited, and may be an offence under the Computer Misuse Act 1990.
  - f. defamation – you should take care to avoid content which may be defamatory. Particular care is needed when sending material electronically or by posting material to the Internet (e.g., through web pages, or social media).
  - g. data – all data owned, processed or held by LSE, whether primary or secondary, must be accessed, stored, processed and backed up in a manner appropriate to its security classification. LSE's data classification guidelines can be found at <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/infSecStalT.pdf>. Failure to appropriately classify and handle data is a breach of these terms and conditions.
  - h. personal data - data on living persons must be held and processed in accordance with the General Data Protection Regulation. Persons who hold Personally Identifiable Information must control and process these data in accordance with the data protection principles set out in the GDPR. Student users must not construct or maintain files of personal data for use in connection with their academic studies/research without the express authority of an appropriate member of staff. When giving such authority, the member of staff should make the student aware of the GDPR's requirements, inform them that they must abide by the data protection principles, and of the appropriate level of security arrangements which should attach to a particular set of personal data. Contact the School's Records Manager for more advice on notification and the implications of the GDPR.

- i. formation of contracts - you should note that it is possible to form contracts electronically, without any hard copy confirmation from the user. Care should be taken to obtain appropriate authority before purporting to commit the School to any contractual obligations (which may include clicking 'I agree' to an online dialogue box) and the wording 'subject to contract' should be used on emails where appropriate.
- j. unsolicited and offensive e-mail – you must not send unsolicited e-mail or other mass e-mails (spam) to multiple recipients, except as part of legitimate School activities, including sanctioned marketing campaigns and research. You must not send e-mail that any member of the School may reasonably find offensive or likely to cause annoyance or needless anxiety, in particular any that would be in breach of sub-paragraphs (c), (d) and (f) above. This includes a prohibition on forwarding on chain letters, advertisements, or replying inappropriately to an entire mailing list.
- k. extremist material – under the Counter-Terrorism and Security Act 2015, LSE must have “due regard to the need to prevent people from being drawn into terrorism.” The Act imposes certain duties under the Prevent programme, which is aimed at responding to “the ideological challenge we face from terrorism and aspects of extremism, and the threat we face from those who promote these views.” Under the Act, LSE must seek to ensure that its IT facilities are not used to draw people into terrorism.

If you do need to view extremist materials for legitimate research purposes, please contact DTS Cyber Security and Risk via the Service Desk ([it.servicedesk@lse.ac.uk](mailto:it.servicedesk@lse.ac.uk))

### Monitoring and privacy

10. The School acts in accordance with applicable legislation and the Information Commissioner's Employment Practices Code, notably in relation to the monitoring of communications.
11. The School undertakes some routine monitoring of activity on the IT Facilities to ensure that they operate correctly and to protect against the risk of harm from viruses, malicious attack and other known threats. This does not involve the monitoring of individual communications or the disclosure of the contents of any user files.
12. The School reserves the right, under explicit authorisation, to monitor your use of the IT Facilities, including emails sent and received, and web pages and other online content accessed:
  - to protect the IT Facilities against viruses, hackers and other malicious attack;
  - to assist in the investigation of breaches of these Conditions of Use, as described in paragraphs 15-19 below;
  - to prevent or detect crime or other unauthorised use of the IT Facilities;
  - when legally required to do so, for example as part of a police investigation or by order of a court of law;
  - to assist in the managing the utilisation of physical space across the campus
  - where such monitoring is necessary, to pursue the School's other pressing academic and business interests, for example by reviewing the emails of employees on long-term sick leave or to disclose documents under the Freedom of Information Act 2000.

In all cases, monitoring of individual content shall only be carried out if authorised by the Dean of Graduate Studies or the School Secretary for students, or the Director, a Pro Director, the School Secretary, or the Chief Operating Officer for members of staff. It is best to assume documents such as emails could become known to other users. For example, such material may be subject to the requirements on the School to disclose documents under the Freedom of Information Act 2000.

### Personal use

13. The IT Facilities are made available for you to use principally for the purpose of your work or studies; however, we realise that you may occasionally want to use the IT Facilities for your own purposes. You are allowed to make personal use of the IT Facilities only if such use:
  - does not interfere with the performance of your work or studies;
  - does not incur unwarranted expense on the School;
  - does not have a negative impact on the School; and
  - is otherwise in accordance with these Conditions of Use.

### Consideration for other IT users

14. You must show consideration for other users of the IT Facilities. For example, you must not use an LSE machine for social email in a computer room where other students are waiting to use the facilities for academic purposes.

### Internet and Social Media Publishing

15. If you publish information on the Internet using the IT Facilities, or if you publish information on an LSE-affiliated online platform including websites, social media, or the Student Hub app using a personal device, you are subject to additional regulations. In particular, you must comply with the internet publishing and social media guidelines and best practice toolkits available on our website. Any use of cookies on websites that contain personal data should be accompanied by a notice informing users that cookies are being used and giving users the option to disable cookies.

### Disciplinary regulations and enforcement

16. If you use the IT Facilities in breach of these Conditions of Use, the School may take disciplinary action.
17. Where an allegation has been made against a student under the Regulations on Assessment Offences in taught degrees and diploma courses, or against a research student under the Regulations for Research Degrees, the School shall have the right to inspect and take copies of any material held in the name of that student on any of the IT Facilities that might provide evidence for or against the allegation.
18. Where an alleged breach of these Conditions of Use is brought to the attention of DTS, all reasonable measures will be taken to investigate whether the allegation is justified and, if so, the necessary steps will be taken to prevent further abuse. This may involve inspecting the contents of a user's files or email messages. Inspection and copying of a user's files shall only be undertaken if authorised by a Dean or the School Secretary for students, or the Director, a Pro Director, the School Secretary, or the Chief Operating Officer for members of staff. All reasonable efforts shall be made to avoid inspection of files not connected with the relevant allegations, and such files will be copied only if the appropriate Dean, the School Secretary or the Director, a Pro Director, or the Chief Operating Officer (as appropriate) is satisfied that such a step is unavoidable.
19. If a complaint or allegation is received your account may be immediately suspended for investigation. Wherever possible, users will be notified of such suspension. Penalties for breach of these Conditions of Use may include temporary or long-term suspension of your access to the IT Facilities, and/or other disciplinary penalties up to and including expulsion from LSE in the case of a student or dismissal from the School in the case of staff. The School may refer the user to the police where appropriate and will co-operate fully with any police investigations.

### Working practices

20. The School has IT security systems in place, but cannot guarantee that these will prevent every attempt to access confidential or restricted data. As laid out in the Information Classification Standard, it is your responsibility to ensure that confidential material is stored appropriately, including using password-protection and/or encryption as appropriate, to prevent unauthorised access by third parties.
21. If you do make use of the IT Facilities for personal use you should be aware that it may be possible for personal information to be inadvertently accessed during enforcement of these Conditions of Use.
22. All School-related e-mail must be sent from and stored within the School e-mail system as storage elsewhere may be in breach of the General Data Protection Regulation.

### Definitions

For the purposes of these conditions of use, "**IT Facilities**" are defined as meaning any of the LSE's IT facilities, including email, connection from the campus to the Internet and other networks, and all computers, laptops, other mobile devices, and any other related software and hardware.

"**The LSE's IT Facilities**" means the property of the School or leased/rented to it; or on loan to the School from third parties; or the property of third parties affiliated to LSE located in the School, or attached to School computers, computer systems or networks. This also includes any software or systems that LSE is licensed to use, for example, library catalogues and database services. Users using personally owned equipment attached to LSE network are still bound by these Conditions. These conditions apply to all users of the IT Facilities, including but not limited to, all members of staff, students (both full and part time), associates, visitors, temporary users and any other user of the IT Facilities.

Any use of IT Facilities must also conform to the JANET Policy on Acceptable Use, which is available on the Web here: <https://community.ja.net/library/acceptable-use-policy> or from Data and Technology Services (DTS).

### Review schedule:

Review interval	Next review due by	Next review start
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### Version history:

Version	Date	Approved by	Notes
3.5	11/09/2019		Last reviewed: 18/05/2020

### Links:

Reference	Link
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### Contacts:

Position	Name	Email	Notes
Assistant Director of Cyber Security & Risk Management	Jethro Perkins	<a href="mailto:j.a.perkins@lse.ac.uk">j.a.perkins@lse.ac.uk</a>	

### Communications and Training:

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Annual awareness-raising activities from comms – e.g. via newsletters, maildrops, posters. Referred to in LSE's user awareness training.

## LECTURE RECORDING POLICY

### 1. Lecture Recording Policy

- 1.1. This document sets LSE policy on lecture recording.
- 1.2. This policy applies only to recordings made of timetabled teaching, distributed by the centrally managed lecture recording service, currently Echo360, hereinafter referred to as “the lecture recording service”.
- 1.3. Where another policy conflicts with this one, the policy in this document shall apply.
- 1.4. Where facilities are available, the lecture recording service will be used to record lectures, and other appropriate teaching and learning activities, and to make these recordings available to students registered on the course associated with that teaching activity.
- 1.5. The schedule of recordings will be managed through the timetabling system. All sessions timetabled as a “lecture” activity in rooms where facilities are available will be scheduled to be recorded unless the lecturer(s) opts out.
- 1.6. The authority to opt out of lecture recording, and the responsibility for implementing this policy, will reside with the individual lecturer.
- 1.7. Anonymised opt out data will be used, and may be requested by LSE members, to develop a deeper understanding of lecture recording usage across LSE, helping to inform policy and service development and manage student expectations.
- 1.8. Lecturers will not be able to opt out of recording on any course where a student who has an inclusion plan requiring subtitles and/or closed captions is registered.
- 1.9. Students have the right to opt out of recording. Such students should speak to the person responsible for the activity to be recorded, i.e. the lecturer, who will attempt to find a suitable solution. This may include guidance on sitting in a position where the student will not be recorded, asking questions via a proxy, or asking questions only after the recording has ceased.
- 1.10. In rooms equipped with a camera, video will be recorded in automatically scheduled recordings. If lecturers do not wish to have video included in their recording, they should opt-out of automated recording, and start the recording themselves, selecting only the audio and screen inputs at that time. Guidance on starting “ad-hoc” recordings can be found on the LSE website.
- 1.11. The lecture recording service provides an editing function, to which the owner or owners of the material have access to edit their own recordings. If students wish to have a recording edited, they must request a change from the person responsible for the activity being recorded, i.e. the lecturer. This request must specify which material they wish to have changed and why they want the change. In case of a dispute, the matter shall be resolved by the lecturer’s Head of Department, or, where a guest speaker is delivering the lecture, the Head of Department of the lecturer who engaged the guest speaker.
- 1.12. Recordings are published to students via the Virtual Learning Environment (currently Moodle) and will only be available to LSE students who are registered on the course for which the recording was made, unless the academic responsible for the course chooses differently. Lecturers can make individual recordings unavailable by logging in to <https://echo360.org.uk> and navigating to the relevant content.
- 1.13. Except where authorised by the lecturer, recordings of teaching and learning activities are not for public consumption by any means, including but not limited to publication on the public Internet. Recordings must not be copied or passed on to anyone else without permission of the lecturer(s), or any students who have participated, and therefore acquired performance rights, in a lecture.
- 1.14. Where the lecturer(s) has permitted, recordings may be made available for download by students for consumption offline. Once they have completed their studies, students must permanently erase all downloaded copies of recordings. LSE reserves the right to take action to recover any recorded works and/or to prevent any infringement of its intellectual property rights.
- 1.15. Recordings will not be used for performance management purposes.
- 1.16. Recordings will not be used to replace teaching in the event of an industrial dispute without permission of the lecturer(s).
- 1.17. Recordings will normally be kept by LSE for up to four years from the date of recording.
- 1.18. Students wishing to make their own recordings of lectures that may or may not be recorded by other means must obtain the permission of the lecturer(s) prior to doing so. Recordings made by students must be audio only (i.e. not contain any images) and are subject to the same constraints on distribution as are imposed on those recordings made by or on behalf of LSE (see 1.13) and are for personal use only.

### 2. Copyright and Intellectual Property

- 2.1. LSE will own the copyright in all recorded lecture material, including that which has involved a guest speaker. LSE will license the use of this material to its members of staff for the sole purpose of educating LSE students.



- 2.2. It is the responsibility of individual members of staff to ensure that the material used for teaching and learning activities is copyright cleared. Use of uncleared copyright material risks legal action or prosecution and is a breach of LSE's Ethics Code. Lecturers should refer to the terms of LSE's copyright licences to check if content can be made available in a recording.
- 2.3. Notwithstanding certain permitted acts such as fair dealing, the copyright exception of showing materials in class for the purposes of instruction does not apply when a teaching and learning activity is being recorded, as this constitutes further copying. A licence or rights-owner permission may be needed if third-party materials are being used –such as a diagram from a published book, a commercially licensed image from a website, or a video clip.
- 2.4. As the owner of, and therefore the entity that is liable for, the recorded material, LSE reserves the right to edit or withdraw any recorded material from its systems, provided it has reasonable grounds for doing so. For example, reasonable grounds are likely to exist where third party intellectual property rights are infringed, or material is reasonably considered to be offensive or defamatory.
- 2.5. The performance rights in the lecture remain with the lecturer(s).
- 2.6. If you consent to your lectures being recorded for the purposes outlined in this document, you need take no action. If you do not consent to your lectures being recorded, you must opt out by completing a form on the LSE website.

### **3. Consent**

- 3.1. Subject to the opt-out noted in 1.6 and 2.6, lecture recording is deemed to be in the legitimate interests of the educational objectives of LSE, meeting the conditions of Article 6(1)(f) of the UK-GDPR. LSE will process personal data accordingly and in line with the requirements of UK-GDPR and the Data Protection Act 2018.
- 3.2. No recordings of special category data, as it is defined in Article 9(1) of the UK-GDPR, will be made without the explicit consent of the relevant data subject(s).
- 3.3. Guest speakers will have performance rights in any recorded lectures in which they have participated. It is therefore important for any members of staff or students who are producing a recording of a lecture that involves a guest speaker, to obtain the necessary written consent to produce and use the recording, as well as a worldwide licence to reproduce, display and archive the recorded material for the purpose of education and research at LSE.
- 3.4. Professional services and teaching staff must notify students of the potential to be recorded in programme handbooks and at the start of any module where the lecture recording service is in use.

# DATA PROTECTION POLICY

## 1. Purpose

- 1.1 This document sets out The London School of Economics and Political Science ("the School")'s policy on data protection. It provides an overview of data protection requirements and directs you to more detailed guidance as appropriate.
- 1.2 If you have any questions relating to this policy please contact the School's Data Protection Officer via [glpd.info.rights@lse.ac.uk](mailto:glpd.info.rights@lse.ac.uk)

## 2. Background to this Policy

- 2.1 The General Data Protection Regulation (GDPR), to be incorporated into UK law via a new Data Protection Act (DPA), establishes a framework of rights and duties which are designed to safeguard personal data. These are referred to in this policy as 'Data Protection legislation'. The legislation is underpinned by a set of six straightforward principles, which define how data can be legally processed.
- 2.2 These six principles are:
  - 2.2.1 Personal data shall be processed fairly, lawfully and transparently.
  - 2.2.2 Personal data shall be held only for one or more specified and lawful purposes and shall not be further processed in any manner incompatible with that purpose or purposes. There is an exemption for research data.
  - 2.2.3 Personal data shall be adequate, relevant and not excessive in relation to the purpose for which it is processed.
  - 2.2.4 Personal data shall be accurate and where necessary kept up to date.
  - 2.2.5 Personal data processed for any purpose shall not be kept for longer than is necessary for that purpose. There is an exemption for research data.
  - 2.2.6 Appropriate technical and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of the data.
- 2.3 The GDPR also sets out rights of data subjects relating to their personal data. These rights include:
  - 2.3.1 the right to access
  - 2.3.2 the right to rectification
  - 2.3.3 the right to erasure (in certain circumstances)
  - 2.3.4 the right to stop processing
  - 2.3.5 the right to portability (in certain circumstances)
  - 2.3.6 the right to object to marketing. and
  - 2.3.7 the right to have human intervention with regards to automated processing, including profiling
- 2.4 The GDPR sets out the conditions under which information can be transferred to countries outside the European Economic Area. These include adequacy, appropriate safeguards, binding corporate contracts and explicit consent, amongst others.
- 2.5 The Act defines both **personal data** and **special categories personal data**.
  - 2.5.1 Personal data is any information that can identify a living individual and can include such items as home and work address, personal email address, age, telephone number and schools attended, and even photographs and other images.
  - 2.5.2 Special categories personal data consists of racial/ethnic origin, political opinion, religious or similar beliefs, trade union membership, physical or mental health or condition, sexual life and information relating to legal proceedings and convictions.
  - 2.5.3 Personal data comes under the categories of confidential or restricted information in the Information Classification Standard depending on the volume. Special categories personal data comes under the category of confidential information only in the Information Classification Standard.
- 2.6 The GDPR sets out certain lawful bases that must be satisfied to justify the holding or use of personal data. These are set out in Article 6 of the GDPR and include: contract; legal; vital interests, public duty, legitimate interests and consent. Special categories data requires that (an) additional lawful basis as set out in Article 9 of the GDPR. These lawful basis are recorded in the School's Information Asset Register. Staff who are unsure what lawful bases apply to personal data they intend to process should seek advice from the Data Protection Officer.

## 3. Policy and Guidance

- 3.1 The School is committed to a policy of protecting the rights and freedoms of individuals with respect to the processing of their personal data.

- 3.2 This Policy and the further School guidance it refers to apply to all personal data processed for the School's purposes, regardless of where it is held and, in respect of automatically processed data, the ownership of the equipment used.
- 3.3 Links to relevant School guidance are set out at the end of this policy. This list is not exhaustive and all relevant guidance can be found on the [LSE policies and procedures](#) page, under the Governance and Legal tab.

#### 4. Application of this Policy

- 4.1 The School holds personal information about individuals such as employees, students, graduates, research subjects and others, defined as **data subjects** in Data Protection legislation. Such data must only be processed in accordance with the Data Protection legislation. This Policy and the School Guidance are written to ensure such compliance. Any breach of this Policy and/or the School Guidance may result in the School as the **Data Controller** (and in some cases individuals), being in breach of Data Protection legislation and therefore liable in law for the consequences of such breach.
- 4.2 Heads of Department and Service Leaders are responsible for ensuring that the School complies with Data Protection legislation. All students and staff must ensure they have read and understand this Policy and the School Guidance.
- 4.3 It is the responsibility of all users of personal data throughout the School to ensure that personal data is kept securely. Personal data should not be disclosed to any unauthorised third party in any form, either accidentally or otherwise.
- 4.4 Any breach of or failure to comply with this Policy or the School Guidance, particularly any deliberate release of personal data to an unauthorised third party, may result in disciplinary or other appropriate action.
- 4.5 The School will continue to perform periodic audits to ensure compliance with this Policy and Data Protection legislation and to ensure that all guidance and support is kept up to date.
- 4.6 Any unauthorised access to or disclosure of personal data or other data security breaches should be reported to the Data Protection Officer and/or the Information Security Manager as soon as possible, using the email address [glpd.info.rights@lse.ac.uk](mailto:glpd.info.rights@lse.ac.uk).
- 4.7 The School Secretary is responsible for ensuring that the School community remain informed of their obligations under Data Protection legislation, with operational duties of advice and support devolved to the Data Protection Officer.
- 4.8 The Data Protection Officer is required by Data Protection legislation to report to the highest levels of management at the School, which will normally be done through the School Secretary.
- 4.9 Staff procuring cloud based services or mobile apps storing personal data for the School must check with the Information Security team that these meet the security requirements of Data Protection legislation.
- 4.10 Staff should not conduct profiling exercises without first conducting a data protection impact assessment. Should they accidentally through manipulation of data sets find they have identified individuals, they should contact the Data Protection Officer. Profiling is defined in the GDPR as 'any form of automated processing of personal data evaluating the personal aspects relating to a natural person, in particular to analyse or predict aspects concerning the data subject's performance at work, economic situation, health, personal preferences or interests, reliability or behaviour, location or movements, where it produces legal effects concerning him or her or similarly significantly affects him or her'.

#### 5. Handling of Personal Data by Students

- 5.1 A student should only use personal data for an academic or School-related purpose, with the knowledge and express consent of an appropriate member of staff. The use of personal data by students should be limited to the minimum consistent with the achievement of academic objectives.
- 5.2 For a postgraduate research student, this appropriate member of staff would be the supervisor. Research students are more likely than other students to be collecting personal data and creating datasets. They should seek advice from the Data Protection Officer at the earliest stage, and at all times comply with the policy.
- 5.3 For a postgraduate taught student, the appropriate member of staff would be the supervisor of their dissertation or the course leader of the relevant class/course. As with research students, any personal data collected as part of the dissertation should be kept in accordance with this policy.
- 5.4 For an undergraduate, responsibility would lie with the course leader of the relevant class/course. Wherever possible, data should be de-personalised so that students are not able to identify the subject.
- 5.5 Any confidentiality or consent agreements should normally be signed off by the School Secretary or the Head of Research Division. For advice, contact the Data Protection Officer.

#### 6. Access to Data

- 6.1 The DPA gives data subjects a right to access to personal data held about them within a set timescale. Therefore it is important that the Data Protection Officer be notified of any request to the School for access to an individual's personal data as soon as they are received.
- 6.2 There are specific provisions which apply to examination marks and comments.
- 6.3 If you have any questions relating to access to personal data please contact the Data Protection Officer.

- 6.4 If you have any questions relating to access to personal data please contact the Data Protection Officer.

### 7. Retention of Data

- 7.1 Personal data must only be kept for the length of time necessary to perform the processing for which it was collected. This applies to both electronic and non-electronic personal data. The School's retention schedule outlines the length of time various classes of records and other data should be kept. This extends to backups and copies made on removable media.
- 7.2 This does not apply to research related data which can be kept indefinitely.
- 7.3 Passport data and other immigration documents can only be collected via the School's photocopiers/scanners by the relevant staff in Human Resources, Academic Registrar's Division, Language Centre, Summer School and Executive Education and Custom Programmes who are required to keep copies for Visa purposes. These scans should only be kept for as long as we need to prove to UKVI that staff and students have or had the right to be at the School.

### 8. Data Transfer

- 8.1 If data is being sent outside the European Economic Area by the School, the School needs to put in place certain safeguards. Please contact the Data Protection Officer if for any reason related to the School, as part of a supplier contract or for your studies, for example, you may need to send personal data outside the EEA.
- 8.2 Information published on the web must be considered to be an export of data outside the EEA.
- 8.3 No web-based, or 'Cloud' services, storing personal data outside the EEA should be used for storing or sending special categories personal data unless this has been agreed with the Data Protection Officer.
- 8.4 Any transfers of personal data outside the EEA and/or extraordinary transfers of data should be signed off by the School Secretary, unless to countries that are covered by an EU adequacy decision.

### 9. CCTV and Physical Access control

- 9.1 CCTV at the School will be used in line with the School's Code of Conduct on CCTV.
- 9.2 Access control systems are used at the School for the purposes of security, maintenance of IT and building systems and public safety.
- 9.3 Requests for information held within CCTV and access control systems made by police services under the relevant exemptions in Data Protection legislation will be handled by the School's Security Office.
- 9.4 Requests for information held within CCTV and access control systems made by any other individuals or organisations will be handled by the Data Protection Officer.

### 10. Information Asset Register

- 10.1 The School's Information Asset Register (IAR) will be used to meet the record keeping requirements of Data Protection legislation.
- 10.2 Information Asset Owners, defined as the staff member with responsibility for the information asset, will ensure that they create and maintain the data held within the Information Asset Register.
- 10.3 This will include an annual review of their information assets.
- 10.4 The Data Protection Officer will ensure that Information Asset Owners receive the appropriate support to maintain the information asset register.

### 11. Compliance, Policy Awareness and Disciplinary Procedures

- 11.1 The loss or breach of confidentiality of personal data is an infringement of Data Protection legislation and may result in criminal or civil action against LSE. Therefore all users of personal data at the School's information systems must adhere to the Data Protection Policy and its supporting policies as well as the Information Security Policy.
- 11.2 All current staff, students and other authorised users will be informed of the existence of this policy and the availability of supporting policies, codes of practice and guidelines.
- 11.3 Any breach of this policy will be handled in accordance with all relevant School policies, including the *Conditions of Use of IT Facilities at the LSE* and the appropriate disciplinary policies.

### 12. Status of This Policy

- 12.1 This Policy has been approved by the Information Governance Committee on 26 March 2018. It is available in the policies and procedures section of the website.
- 12.2 Other guidance will be made available to staff and students as developed. The approval process will include the Information Governance Management Board, and where necessary, School Management Committee and Joint Negotiating, Information and Consultation Committee.

**Review schedule:****Review interval**

3 Years

**Next review due by**

March 2021

**Next review start**

November 2020

**Version history:**

Version	Date	Approved by	Notes
V1	11.01.2014	Council	
V2	26.03.2018	Information Governance Committee	
V3.7	17/11/2020	IGMB	Update to 3.3, link to new guidance storage on website
V3.8			Update to 4.2 new data roles;

**Links:****Reference**

General Data Protection Legislation  
Information Commissioner's Office  
Information Commissioner's  
Office Guidance on Cloud Computing  
Register of Data Controllers  
Records Management Policy

**Link**

<https://gdpr-info.eu/>  
<http://www.ico.gov.uk/>

<https://ico.org.uk/for-the-public/online/cloud-computing/>  
<https://ico.org.uk/about-the-ico/what-we-do/register-of-datacontrollers/>  
<https://info.lse.ac.uk/staff/services/Policies-andprocedures/Assets/Documents/recManPol.pdf>

Guidance on best practice for records management, including personal data

<https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Information-Rights-and-Management/Informationand-Records-Management>  
<https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Information-Rights-and-Management/Informationand-Records-Management>  
<http://www2.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/infSecPol.pdf>  
<http://www.lse.ac.uk/intranet/LSEServices/IMT/guides/softwareGuides/other/usingDropboxCloudStorageServices.aspx>

The School's Retention Schedule

Information Security Policy  
Guidance on Cloud based services

**Contacts:**

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**Communications and Training:**

Will this document be publicised through Internal Communications?	<b>Yes</b>
Will training needs arise from this policy	<b>TBC</b>
If Yes, please give details:	

# **LSE INTELLECTUAL PROPERTY POLICY**

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## 1. INTRODUCTION

### 1.1 LSE's Mission and Purposes

- 1.1.1 LSE's mission is to be the world's leading social science institution with the greatest global impact. LSE was founded as a community of people and ideas with a shared purpose: to know the causes of things for the betterment of society.
- 1.1.2 LSE is a company limited by guarantee and its purposes, as set out in its Memorandum of Association, include:
  - a) organising, promoting and assisting research and the advancement of science and learning in the various branches of knowledge dealt with by LSE; and
  - b) providing opportunities and encouragement for pursuing a regular and liberal course of education of the highest grade and quality in the various branches of knowledge dealt with by LSE.
- 1.1.3. LSE is a charity and has a duty to further the charitable aims or objectives set out in its memorandum of association for public benefit and in accordance with its charitable duties, including ensuring its financial sustainability. As part of that purpose and in accordance with its charitable status, LSE has a duty to promote the creation of original intellectual property and, generally, to make it publicly available. In its dealings with employees, students and third parties, the University will therefore aim to make knowledge and learning publicly available. However, it may be appropriate for LSE to restrict dissemination of some intellectual property in order to protect confidentiality, to optimise benefits against costs, or to realise commercial benefit from that property. Where LSE seeks to exploit intellectual property rights for commercial benefit, it will do so in line with its purpose and charitable status.
- 1.1.4. LSE is committed to ensuring that intellectual property rights resulting from work carried out by LSE members of staff, LSE students and LSE visitors are used collaboratively to support LSE's mission, in accordance with LSE's legal obligations, and for the benefit of LSE, the creators of that work and society-at-large and that the benefits of their use are shared fairly.

### 1.2 The Purpose of this Policy and Key Principles

- 1.2.1 This Policy and associated procedures have been designed to be a general statement of the LSE's policy in relation to the works and associated intellectual property rights of LSE, LSE members of staff, LSE students and LSE visitors in a way which balances the interests of all parties, protects the intellectual property rights of LSE members of staff, LSE students and LSE visitors and which enables LSE to achieve its mission and purposes and to comply with its charitable duties. It does not replace more detailed provisions of separate agreements entered into by LSE with members of staff, students, visitors or third parties, though such provisions should be broadly consistent with the principles set out here.
- 1.2.2 The principles which underlie this Policy are:
  - Reciprocity: that LSE recognizes the interests which creators have in their works and that LSE members of staff, LSE students and LSE visitors recognize the needs of LSE to pursue its mission and purposes and comply with its charitable duties including, without limitation, to continue its operation and ensure its financial sustainability;
  - Collegiality: that the use of works of LSE's academic and teaching staff and LSE's visitors will be shared as far as possible between the member of staff or visitor and LSE in line with principles of academic freedom and with the obligations of LSE to pursue its mission and purposes and comply with its charitable duties;
  - Open and collaborative scholarship: that LSE members of staff, LSE students and LSE visitors are encouraged to make their research outputs and research available on an open access basis in the public interest, and where the funder of the research requires they must make them available on an open access basis, in either case, in accordance with the LSE Open Access Publication Policy.
  - The interests of LSE students: that LSE students' interests to receive an education and their rights in their works should be protected as far as possible;
  - Research integrity and recognition of the rights of others: that the rights of others in their works will be recognised and upheld, and that all those conducting research at LSE will do so in accordance with the principles of the LSE's Research Ethics Policy and Code of Research Conduct and LSE's Conflicts of Interest policy; and
  - The principles of the LSE's Ethics Code: intellectual freedom, collegiality, responsibility and accountability, integrity, equality of respect and opportunity, and sustainability.

### 1.3 Definitions:

As far as possible this Policy has been written to be accessible, but intellectual property law is complex, and it is not always possible to avoid legal terminology. Explanations of some of the expressions used in this Policy may be found in Appendix B along with sources of information about intellectual property rights as they apply in the UK.



#### 1.4 Who this Policy applies to:

- 1.4.1 This Policy applies to all works created at LSE by LSE members of staff in the course of their employment, LSE students in the course of their studies and LSE visitors in the course of their visiting arrangement; more specifically it sets out LSE's policy in relation to intellectual property rights in works created by:
- LSE's academic staff;
  - LSE's research staff, including research assistants;
  - LSE's teaching staff, including education career track staff, guest teachers and course tutors;
  - LSE's policy fellow staff;
  - LSE fellows;
  - LSE's professional services and administrative staff;
  - LSE's technical and support staff;
  - LSE's graduate teaching assistants;
  - anyone who has been seconded by their employer to work at LSE (a secondee); and
  - anyone else who is employed by or works for LSE, whether full-time or part-time or on a temporary basis,
- (all of whom are called **LSE members of staff** in this Policy);
- anyone enrolled on an undergraduate degree course or programme at LSE;
  - anyone enrolled on a graduate degree course or programme at LSE;
  - anyone enrolled on a graduate diploma course at LSE;
  - anyone enrolled as a research student at LSE;
  - visiting research students at LSE;
  - anyone studying at LSE for a joint degree;
  - anyone enrolled on an executive short course, executive degree course or any other executive or custom programme at LSE;
  - anyone attending an LSE summer school, programme or short course;
  - anyone enrolled on an LSE distance or on-line learning course provided by LSE;
  - external students for whom LSE provides academic direction under a separate written agreement;
  - anyone enrolled on an LSE study abroad course;
  - any other visiting student; and
  - anyone else studying at or with, or being taught by, LSE
- (all of whom are called **LSE students** in this Policy); and
- visiting scholars, practitioners, teachers or other visitors who have a formal visiting position at LSE;
  - anyone enrolled on any LSE Visitor Programme;
  - emeritus professors;
  - anyone else who is affiliated or associated with LSE or who engages in work at LSE and has entered into a written agreement with LSE relating to their participation in, or conducting, research, scholarship, creating works, or teaching at LSE, but who is neither an LSE member of staff nor an LSE student, where the creation of the work involves substantial use of LSE's resources
- (all of whom are called **LSE visitors** in this Policy).
- 1.4.2 This Policy applies to all works and associated intellectual property rights created on or after 11th February 2020 (pending Council approval) except to the extent that, before that date: i) LSE and an LSE member of staff, an LSE student or an LSE visitor have entered into a written agreement or arrangement which is inconsistent with this Policy and which extends beyond this date; or ii) LSE has entered into an agreement with a third party relating to those rights which is inconsistent with this Policy and which extends beyond this date. In the case of i) above the written agreement or arrangement to the contrary will apply and in the case of ii) above the terms of the agreement will apply.
- 1.4.3 This Policy has primacy over all other LSE policies in so far as they relate to intellectual property rights.
- 1.4.4 The employment contract or other agreement between LSE and each LSE member of staff, LSE student or LSE visitor will include a provision obliging the LSE member of staff, the LSE student and the LSE visitor to comply with this Policy.
- 1.4.5 This Policy will continue to apply after an individual has ceased to be an LSE member of staff, LSE student or LSE visitor in relation to work in which LSE has intellectual property rights and which was created while that individual was an LSE member of staff, LSE student or LSE visitor.
- 1.4.6 References to this Policy means this policy as it is amended or updated from time to time in accordance with paragraph 12.

## 1.5 Respect for the Rights of Others

- 1.5.1 It is important that LSE, LSE members of staff, LSE students and LSE visitors respect the rights of third parties. This Policy does not affect those rights. LSE, LSE members of staff, LSE students and LSE visitors must therefore not use any information or works in any way which:
- infringes the intellectual property rights of any other person or entity;
  - does not respect the moral rights of any other individual;
  - breaches the rights of confidence of any other person or entity;
  - breaches any contract or agreement with any other person or entity;
  - contains any defamatory or other unlawful material; -does not comply with relevant laws and regulations relating to privacy or the use of personal data (or both); or
  - does not meet the requirements of any applicable guidelines, code of conduct or code of practice and LSE, LSE members of staff, LSE students and LSE visitors must obtain all consents and permissions necessary to allow them to incorporate the work or personal data of any other person in the work of that LSE member of staff, that LSE student or that LSE visitor (subject to rights of fair use for research or educational purposes) and to allow LSE to use that work or personal data in accordance with this Policy.
- 1.5.2. This Policy does not affect any obligation of any LSE member of staff, any LSE student or any LSE visitor to keep information and works confidential in accordance with: any applicable guidelines, code of conduct or code of practice; any legal or regulatory requirement; or any contract or agreement entered into by LSE (including, without limitation, any agreement relating to the sponsorship or funding of research).
- 1.5.3. This Policy does not affect any duty to comply with the **Concordat on Research Integrity** or the LSE's Code of Research Conduct, or other statements of good practice on attribution of research contributions and authorship.
- Further guidance is available at **LSE Copyright Advice**.

## 2. APPLICATION TO LSE MEMBERS OF STAFF AND LSE VISITORS

### 2.1 Ownership

- 2.1.1. LSE members of staff (including LSE students employed or paid to teach or assist in teaching and working in that capacity) and LSE visitors will own the copyright in their scholarly works and teaching materials where they are created in the course of their employment, engagement by LSE or their visiting arrangement subject to the provisions of this Policy, including paragraph 2.1.2, paragraph 4.2 (Intellectual Property Rights created in the context of External Relationships) and paragraph 7.1.7 (commercialisation and exploitation of research).
- 2.1.2 LSE will own the intellectual property rights in all other works of LSE members of staff and LSE visitors including the following:
- a) any work created for managerial or administrative purposes by LSE members of staff or visitors, or by LSE professional services staff working in that capacity, including (without limitation) recruitment talks, in-house training programmes, formal assessments including exam papers, software and databases;
  - b) any work which LSE has funded through a specific commitment of university funds or other resources or has specifically commissioned from an LSE member of staff or an LSE visitor outside regular teaching and research activities;
  - c) where the LSE member of staff or the LSE visitor creates or is involved in the creation of any work or intellectual property rights which LSE owns or has agreed to assign or license to a third party and has informed the member of staff or visitors that rights will be so assigned;
  - d) any work or works whose authorship cannot be attributed to one or a discrete number of authors but rather result from simultaneous or sequential contributions over time by multiple LSE members of staff, visitors and/or students (though where possible the provisions on moral rights in para 5 should be observed). For example, software tools developed and improved over time by multiple LSE members of staff and students where authorship is not appropriately attributed to a single or defined group of authors
  - e) where the LSE member of staff or the LSE visitor creates or is involved in the creation of any work or intellectual property rights which build on, or further develop, existing work or existing intellectual property rights or confidential information of LSE, another LSE member of staff, another LSE visitor or an LSE student, a sponsor, a collaborator or a customer which are licensed to or owned by LSE.
- 2.1.3 In order to fulfil its charitable objectives and duties the LSE needs to secure such intellectual property rights as are necessary to fulfil its educational mission. Staff are also asked to act collegially to share

their teaching materials, particularly with junior colleagues to enable them to provide consistent delivery of courses to large numbers of students. To that end, whilst creators own the copyright to teaching materials created in the course of their employment at LSE (excluding materials which fall within para 2.1.2), creators grant to LSE a royalty-free licence for three years from the date of their creation

- to use and edit the materials, for example to update or amend them or edit them for the purposes of technical formatting or
- to do anything to it which LSE is required to do by law in order to assist LSE students with disabilities in order to deliver the LSE's educational curriculum, through any medium, and accessible worldwide to students enrolled at LSE. The licence will cover all teaching materials (such as syllabi, lecture recordings, problem sets, worksheets and other technical and case materials) but will not cover audio visual aids (such as PowerPoint slides) and the written texts of lectures when those texts have been distributed to students. LSE may ask the creator for permission to use all teaching materials not covered by this provision for the purposes of delivering the LSE's educational curriculum; it will be assumed that consent has been given unless the creator refuses permission within three weeks of the request and permission should not be unreasonably withheld.

- 2.1.4 Whilst employed by LSE, LSE members of staff (including LSE students employed or paid to teach or assist in teaching and working in that capacity) owe their primary teaching duties undertaken in the course of their employment by LSE to LSE and LSE students. However LSE members of staff or students are free to use the teaching materials they create in the course of their employment (including those which may under this policy have otherwise been assigned to LSE ) for delivering guest lectures or teaching at another non-profit institution, including another university, subject the LSE's Conflicts of Interest policy and policies on outside work undertaken as a purely private activity. LSE staff, students or visitors may describe themselves using their LSE affiliation when delivering that teaching. However, LSE staff, students or visitors may not use or allow the other institution to use the LSE brand in such a way to promote the other institution or to imply that there is LSE sponsorship of the activity, nor may they grant the other institution the rights to use those materials once their visit or teaching there has finished. Further, they are not to use those teaching materials for commercial purposes or private gain unless the LSE agrees, and may be required to enter into a benefit sharing agreement with LSE for any income generated.
- 2.1.5 Should the LSE wish to commercialise teaching materials created in the course of employment LSE will enter into a separate agreement with the creator or creators in which the creator(s) and their Department may receive income or royalties from that commercialisation.
- 2.1.6 Where an LSE student is also employed or paid by LSE to assist in the conduct of research of an LSE member of staff or an LSE visitor, the LSE member of staff or LSE visitor must observe LSE's Code on Research Conduct to ensure that the LSE student's contribution to the work is appropriately acknowledged.
- 2.1.7 The provisions on moral rights set out in section 5 will apply to works as set out in that section.

## 2.2 **Appointments at other Institutions**

- 2.2.1 Any LSE member of staff or visitor who holds an honorary or other academic or research appointment at another institution or is employed by another institution must bring their obligations under this Policy to the attention of the other institution.
- 2.2.2 To the extent that the other institution claims ownership or to have an exclusive licence of any intellectual property rights created by the LSE member of staff or LSE visitor which belong to or have been licensed to LSE, it is the responsibility of the LSE member of staff or LSE visitor to avoid conflicts between their duties to the LSE and any obligations they owe to that other institution or employer in relation to intellectual property rights, and where appropriate to ensure that the other institution negotiates and agrees suitable arrangements with LSE. LSE will provide the LSE member of staff or LSE visitor with any support or assistance which may reasonably be requested by the LSE member of staff or LSE visitor to help him or her to comply with this requirement.

## 2.3 **Publication of Scholarly Works and the Management of Research Data**

- 2.3.1 LSE encourages LSE members of staff and LSE visitors to comply with the principles of open access to research (including research data) and to archive research data and make it available as openly as possible in an appropriate data archive, subject to: a) any duty of confidentiality (of the LSE member of staff or LSE visitor or of LSE) to any third party; b) there being no infringement of intellectual property rights; c) the protection of the rights of data subjects; d) any requests for embargo or restricted access; e) any considerations of national security; and f) paragraphs 4.2 (Intellectual Property Rights created in the context of External Relationships) and 7.1.10 (the need for confidentiality to facilitate research commercialisation).

- 2.3.2 Where LSE staff retain copyright in work produced in the course of their employment with LSE, they are encouraged to consider whether it may be possible and appropriate to release that work under a Creative Commons or other open licence. If an LSE member of staff or LSE visitor intends to assign or grant an exclusive licence of the intellectual property rights in a scholarly work to a publisher, that person is encouraged to inform the LSE Library in advance so that the LSE Library has an opportunity to negotiate suitable arrangements with the publisher to allow LSE to include the published scholarly work in the LSE Institutional Repository as a published edition or in pre-publication form and to use that scholarly work for the purposes of research and teaching and the commercialisation or exploitation of any of LSE's intellectual property rights or confidential information (including, without limitation, the creation of model questions, answers and dissertations, marketing and recruitment), in any media of LSE's choosing. LSE members of staff and LSE visitors should not do anything which prejudices or might prejudice the negotiations between LSE and the proposed publisher.
- 2.3.3 As a charity, LSE has a duty to advance knowledge and learning for the public benefit. It thus has a duty to promote the creation of original intellectual property and, generally, to make it publicly available. Where an LSE member of staff or LSE visitor does not intend to assign or grant an exclusive licence of the copyright in a scholarly work to a publisher, or has not assigned or granted an exclusive licence of, the intellectual property rights in a scholarly work to a publisher, that LSE member of staff or LSE visitor grants LSE a non-exclusive worldwide, royalty-free licence, and with the right to sub-license, allowing LSE to use that scholarly work for the purposes of research and teaching (including, without limitation, the creation of model questions, answers and dissertations, marketing and recruitment) in any media of LSE's choosing. The licence may be revoked on the assignment of copyright by the creator to a third party or publication under a creative commons licence. LSE will not, however, undertake any commercialization of such works without the agreement of the creator and will ensure that any revenue arising from commercialization will be shared with the creators, their departments and LSE in line with the benefit sharing arrangements set out in Appendix A.
- 2.3.4 If their research data is deposited in an LSE repository LSE members of staff and LSE visitors will grant the LSE a non-exclusive, royalty free licence to archive, preserve, reformat and migrate the research data and subject to any requests for embargo or restricted access to the research data, to communicate it and make it available according to any licence specified in the deposit process.
- 2.3.5 Where LSE members of staff and LSE visitors deposit research data with LSE or an appropriate external data repository they must ensure that they have:
- a) obtained all consents and permissions (including, without limitation, any licences in respect of intellectual property rights and any consents to use any personal data) necessary for the arrangements outlined in paragraph 2.3.4, including compliance with LSE's Research Ethics Policy.
  - b) complied with data protection law in respect of any personal data included in that research data;
  - c) provided information relating to the intellectual property rights in that research data, any licences granted in relation to that research data and the inclusion of any personal data in that research data; and
  - d) provided sufficient information about the research data so that it can be identified, fully understood and re-used and cited in accordance with the terms of any licences which apply to the research data.
- 2.3.6 LSE members of staff and LSE visitors must respect third party rights in any research data they use, or which they deposit with LSE.
- 2.3.7 Funders may require research data to be placed in a data repository or made available for reuse under an appropriate licence. In order to comply with funding conditions, LSE members of staff and LSE visitors must not assign intellectual property rights or grant any exclusive licence in any such research data to any publisher or to any other third party without reserving rights to deposit the data in an appropriate data repository in accordance with the requirements of any funder of the research or in an LSE repository and make it available for reuse under an appropriate licence.
- The LSE Library is available to provide advice and assistance on data management planning, research data management and the archiving of research data.
- 2.3.8 Where LSE members of staff or LSE visitors wish, or are required by the funder of their research, to submit any material to a repository, they must respect any third-party rights in that material. The LSE member of staff or the LSE visitor are encouraged to notify the LSE Library of the intention to submit any material to a repository including, without limitation, to an archive not held by LSE, before the submission to ensure that the publication by that archive does not conflict with any rights of LSE in the material or any obligation the LSE members of staff or LSE visitors may have to any third party. The LSE Library is available to provide advice and assistance on submissions to repositories.

## 2.4 Recordings of Lectures and other Teaching and Training Sessions

2.4.1 LSE staff (including LSE students employed or paid by LSE to deliver teaching) and LSE visitors will own the rights in their performance in any lecture or teaching session.

2.4.2 If any lecture, teaching or training session given by any LSE member of staff (including LSE students employed or paid by LSE to deliver teaching) or any LSE visitor is recorded by LSE, that LSE member of staff, LSE student or LSE visitor (as the case may be) grants to LSE an exclusive, royalty-free licence for three years from the date of the recording

- to use recordings of the performance
- to copy the performance
- to transfer it to one or more different formats or media
- to edit it solely for the purposes of technical formatting
- to do anything to it which LSE is required to do by law in order to assist LSE students with disabilities
- to distribute copies of the performance through the LSE's teaching platforms and accessible worldwide to students enrolled at LSE

In each case the recording will be as originally given or as edited for the purposes of technical formatting or assisting students with disabilities as required by law.

The recording will be used, copied, transferred, edited and / or distributed solely for the purposes of delivering LSE's educational curriculum to LSE students, respecting the rights and interests of LSE students and complying with its charitable duties, including:

- a) delivering to LSE students the LSE curriculum for the academic year in or for which the lecture or teaching session was recorded;
- b) delivering the lecture or teaching session to LSE students who have deferred their assessments or are re-taking their exams and need access to the course content for the academic year for or in which the lecture or teaching session was recorded for up to three years from the date of the recording LSE students are allowed to download the performance for personal use offline solely in order to pursue their studies at LSE. The policy and associated procedures for lecture recording are set out in the Lecture Recording Policy.

2.4.3 LSE will not use the performance of any LSE member of staff (including LSE students employed or paid by LSE to deliver teaching) or LSE visitor for any purpose except those set out in paragraph 2.4.2 unless it first obtains that person's written consent. In particular, LSE will not use the recording of any individual undertaking industrial action during the period of that action or use it at any other time to cover material which would normally have been taught during the period of industrial action without their prior written consent.

2.4.4 If a person has recorded a teaching session (including lectures, seminars or classes) at the instruction of the LSE during an emergency situation, that recording will only be used to deliver the curriculum for the year for which it was recorded unless the person agrees it can be used for the period set out in para 2.4.2. For the avoidance of doubt, the provisions of this IP policy apply to such recordings in the same way that they do to recordings made in normal times.

2.4.5 If the content of the recording is translated and / or subtitles added or the substantive content has been changed in any way, the LSE member of staff or visitor will be given the opportunity to approve the translation, subtitles or changes prior to its dissemination on LSE's teaching platforms; such approval must be done in a timely manner (normally within 3 weeks) and must not be unreasonably withheld.

2.4.6 LSE will not use the recording for commercial purposes without the agreement of the creator and will ensure that any revenue arising from commercialization will be shared with the creators, their departments and LSE.

2.4.7 Any LSE members of staff (including LSE students employed or paid by LSE to deliver teaching) and LSE visitors who want to use the recording for any purpose except to deliver the LSE course for which it was recorded must first obtain written consent from the LSE School Secretary. This does not prevent the creator from using the content of the recording for research purposes or for teaching purposes in accordance with para 2.1.4.

2.4.8 Recording any lecture or other teaching session will involve LSE collecting and processing personal data. LSE will process that personal data for the purposes and on the legal bases set out in LSE's Data Protection Policy and LSE's Privacy Notice for Staff which sets out information about their rights in relation to their personal data and other information relating to LSE's processing of their personal data.

## 2.5 External or Visiting speakers

The intellectual property rights in the content of any lectures or talk given by external or visiting speaker who is not an LSE visitor under this Policy will be owned by that speaker. Copyright in any recording of a

lecture or talk will belong to LSE. Speakers will be asked to sign the Speaker(s)/contributor(s) Release Form before giving their lecture or talk to grant LSE a licence to use the lecture or talk in accordance with the Creative Commons Attribution-Non Commercial-No Derivatives 4.0 International licence.

### 3. INTELLECTUAL PROPERTY RIGHTS IN RELATION TO THE WORK OF LSE STUDENTS

#### 3.1 Ownership

- 3.1.1 LSE students will own the intellectual property rights in their work (including, without limitation, in any dissertation, thesis or other scholarly work), except where paragraph 4.2 or 7.1.7 applies or the LSE student:
- a) is sponsored by a third party -a condition of the sponsorship may be that the sponsor owns the intellectual property rights in the LSE student's work;
  - b) is working in industry – a condition of the agreement with the business may be that the business owns the intellectual property rights in the work done by the student or is granted a licence of those intellectual property rights;
  - c) is working on a project funded or sponsored by a third party or in collaboration with a third party or is involved in LSE providing any service to a third party -a condition of the contract governing the funding, sponsorship, collaboration or service may be that the funder, sponsor, collaborator or recipient of the service owns the intellectual property rights or is granted a licence of those intellectual property rights;
  - d) is working on a project funded or sponsored by a third party or in collaboration with a third party -a condition of the funding, sponsorship or collaboration may be that the work be made available on an open access basis or that the work be commercialised;
  - e) creates or is involved in the creation of any work or intellectual property rights which LSE has agreed to assign or license to a third party;
  - f) creates or is involved in the creation of any work or works whose authorship cannot be attributed to one or a discrete number of authors but rather result from simultaneous or sequential contributions over time by multiple LSE members of staff, visitors and/or students. For example, software tools developed and improved over time by multiple LSE members of staff and students where authorship is not appropriately attributed to a single or defined group of authors;
  - g) creates or is involved in the creation of any work or intellectual property rights which build on or further develop existing work or existing intellectual property rights or confidential information of LSE, another LSE student, an LSE member of staff, visitor, a sponsor or a collaborator which are licensed to or owned by LSE;
  - h) creates or is involved in the creation of any work which LSE wishes to use for administrative or managerial purposes or which LSE has funded through a specific grant of university funds or has specially commissioned the student or others with whom they are involved to create (whether or not for separate remuneration); or
  - i) is also employed or paid by LSE to assist in the conduct of research of an LSE member of staff or LSE visitor and is working in that capacity.
- 3.1.2 Where LSE students do not assign intellectual property rights to LSE in accordance with this Policy, LSE students grant to LSE a non-exclusive, worldwide, royalty-free and irrevocable license, without limit in time, to copy and use any materials created by them in the course of their studies for the purposes of research, teaching and other uses of any of LSE's intellectual property rights or confidential information including the creation of student model questions, answers or dissertations, in any media of LSE's choosing, but excluding the purposes of commercialization. However, LSE will not make that material available to anyone other than -LSE staff or students without the creator's consent.
- 3.1.3 Where LSE has agreed to assign or license any intellectual property rights in any work in which the LSE student is or becomes involved in creating to any sponsor, collaborator or other person, the LSE student will assign the intellectual property rights in that work to LSE on request. If the LSE student refuses to do so, LSE may decide that the LSE student is not to be involved in the relevant project or work.
- 3.1.4 In cases 3.1.1 d), f), and g) above, LSE may (at its discretion) request the LSE student to: i) transfer or assign intellectual property rights to LSE; or ii) make the LSE student's work available to the public without restriction, and the LSE student will comply with that request. If the LSE student refuses to do so, LSE may decide that the LSE student is not to be involved in the relevant project or work.
- 3.1.5 In case 3.1.1 h) and i) above, the intellectual property rights in the work will belong to LSE.
- 3.1.6 LSE Library is available to provide advice to students on assigning intellectual property rights, but students are advised to seek independent advice. In particular students are advised to seek advice before entering into any contracts or collaboration arrangements with third parties to ensure that they are fully aware of what rights they may or may not have to work delivered under that arrangement. Students are advised to consult the LSE Library for advice.



### 3.2 Scholarly Works and Publications by LSE Students

- 3.2.1 LSE students must submit their final thesis or dissertation to the LSE Library in accordance with the rules and procedures set out in LSE's Regulations for Research Degrees. LSE students may ask the LSE Library not to make their work available to the public if they think to do so will or might:
- a) prejudice their ability to have it published by a commercial publisher; b) breach any duty of confidentiality; c) infringe intellectual property rights; d) breach the rights of any data subject; e) fail to comply with any requests for embargo or restricted access; or f) constitute a threat to national security or to their personal security; or g) any other reason which the student wishes LSE to consider relating to their own position or that of third parties.
- 3.2.2 LSE encourages LSE students to publish scholarly works on an open access basis and to observe the provisions set out in paragraph 2.3, subject to: a) any duty of confidentiality (of the LSE student or of LSE) to any third party; b) paragraphs 4.2 (Intellectual Property Rights created in the context of External Relationships) and / or 7.1.10 (the need for confidentiality to facilitate research and commercialisation).
- 3.2.3 If they are required to do so by the funder of their research, LSE students must publish their scholarly works on an open access basis in accordance with the funder's requirements and paragraph 2.3 will apply to the LSE student as though the LSE student were an LSE member of staff.
- 3.2.4 The LSE Library is available to provide advice and assistance on open access.

### 3.3 Recorded Lectures and other Teaching or Training Sessions

- 3.3.1 LSE students may record any lecture or other teaching session with the clear consent of the person giving the lecture or teaching session provided: LSE students use that recording only for their personal study related to the course which was being delivered by the lecture or teaching session and, once they have completed that course of study, they permanently erase all downloaded copies of the lecture or other teaching session. LSE students agree not to publish or distribute either the recordings they have made, or recordings made through LSE's lecture recording systems.
- 3.3.2 The policy and associated procedures for lecture recording are set out in the Lecture Recording Policy.
- 3.3.3 Recording any lecture or other teaching session will involve LSE collecting and processing personal data. LSE will process that personal data for the purposes and on the legal bases set out LSE's Data Protection Policy and LSE's Privacy Notice for Students which sets out information about their rights in relation to their personal data and other information relating to LSE's processing of their personal data.

## 4. INTELLECTUAL PROPERTY RIGHTS IN WORK CREATED IN THE CONTEXT OF EXTERNAL RELATIONSHIPS

### 4.1 General

The terms of any contract or agreement between LSE and an external organisation or other third party relating to intellectual property rights will prevail over anything to the contrary in this Policy.

### 4.2 Funders, Sponsors, Collaborators and Customers

- 4.2.1 LSE may enter into agreements with funders, sponsors, collaborators and customers. The terms of those agreements will determine any revenue shares, the ownership of and rights to use the intellectual property rights in the results of the project and the confidentiality of the results of the project.
- 4.2.2 LSE may agree such terms with funders, sponsors, collaborators and customers as it sees fit but LSE will usually endeavour to negotiate terms which allow:
- a) LSE to use the results of the project for the purposes of achieving its mission and purposes and complying with its charitable duties;
  - b) LSE members of staff and LSE students to publish or otherwise disseminate the results of the research, preferably on an open access basis; and
  - c) LSE students to deposit theses and dissertations in the LSE Library on LSE's usual terms for the same, subject to arrangements to keep any work or any results of the project confidential while steps are taken to protect intellectual property rights or to agree commercialisation or other exploitation arrangements.

### 4.3 Consultants, Contractors and other Service Providers

- 4.3.1 LSE may enter into agreements with consultants, contractors and other service providers. The terms of those agreements will determine the ownership of and rights to use intellectual property rights.
- 4.3.2 LSE may agree such terms with consultants, contractors and other service providers as it sees fit but LSE will usually endeavour to negotiate terms which provide for LSE:
- a) owning the intellectual property rights in any work created specifically for LSE by any consultant, contractor or service provider; and
  - b) to have a royalty free, worldwide licence to use (with the right to sub-license) any pre-existing intellectual property rights including, without limitation, third party rights used by the consultant, contractor or service provider in rendering services to LSE.



#### 4.4 Assignees and Licensees

- 4.4.1 LSE may enter into agreements with assignees and licensees. The terms of those agreements will determine the ownership of and rights to use intellectual property rights.
- 4.4.2 LSE may agree such terms with assignees and licensees as it sees fit but, LSE will usually endeavour to negotiate terms which:
- a) provide LSE with a fair return for the assignment or licence;
  - b) allow LSE to use the intellectual property rights for the purposes of achieving its mission and purposes and complying with its charitable duties, including without limitation ensuring its financial sustainability;
  - c) allow LSE members of staff and LSE students to publish or otherwise disseminate the results of research, preferably on an open access basis; and
  - d) allow LSE students to deposit theses and dissertations in the LSE Library on LSE's usual terms for the same, subject to arrangements to keep any work confidential while steps are taken to protect intellectual property rights or to agree commercialisation or other exploitation arrangements.

### 5. MORAL RIGHTS

- 5.1 Creators of literary, dramatic, musical and artistic works and film, and some performances have moral rights irrespective of who owns the intellectual property rights in those works.
- 5.2 Where LSE publishes or uses work by a member of LSE staff, student or visitor, generally it will aim to respect the moral rights of that author by identifying them as the author of the work and not subjecting the work to derogatory treatment. This general principle applies whether or not the author retains copyright in the work, and whether or not they have licensed the LSE to use the work.
- 5.3 However, LSE staff, students and visitors:
- a) will generally not hold any moral rights in institutional materials including reports, syllabuses, curricula, and papers commissioned by the University for administrative purposes;
  - b) will generally be required to waive their right to be identified as the author of a work where appropriate, for example where the University publishes commentaries from examiners or academic peer reviews;
  - c) may be requested to waive their right to object to derogatory treatment of a work in order to allow teaching materials which they have licenced to LSE under para 2.1.3 to be edited only for the purposes of technical formatting or updated or revised without their future input during the period of the licence, such consent not to be unreasonably withheld;
  - d) may be requested to waive their moral rights or right object to derogatory treatment of a work where the waiver of moral rights is required by any person to whom LSE agrees to assign any intellectual property rights or to grant any licence to use them, such consent not to be unreasonably withheld;
- 5.4 Otherwise LSE will not request LSE members of staff, LSE students and LSE visitors to waive any moral right.

### 6. LSE'S NAME AND TRADE MARKS

- 6.1 LSE members of staff, LSE students and LSE visitors must not mislead the public into believing that LSE is associated with or involved in any product, service, work, activity or project when that is not the case.
- 6.2 Even where LSE is associated with or involved in any product, service, work, activity or project, LSE has the exclusive right to use:
- its names (The London School of Economics and Political Science and LSE);
  - its logo; and
  - any trademark, service mark and domain name which incorporates either of LSE's names or its logo or is in some other way associated with LSE.
- 6.3 LSE staff, LSE students and LSE visitors may use the LSE logo in the normal course of their employment, study or visiting arrangement at LSE (e.g. teaching, dissemination of research, outreach and engagement, management and administrative works), including when teaching or presenting outside LSE in their capacity as an LSE member of staff, visitor or student and using their LSE affiliation. In all other cases, LSE members of staff, LSE students or LSE visitors must ask permission from the LSE Communications Division to use any of LSE's name(s), logo, marks or domain names for one or more specific purposes.
- 6.4 Unless that permission has been granted by LSE in writing, LSE's name(s), logo, marks and domain names and any name, logo, mark or domain name which is similar to any of LSE's name(s), logo, marks and domain names must not be used. In particular, the LSE logo must not be used without express written permission on outside work undertaken as a purely private activity, on collaborative arrangements with third parties outside the normal course of collaborative teaching and research activities, or on ventures founded by LSE staff, students or visitors alone or in collaboration with others, or in ways which would suggest that the LSE has endorsed or is in any way involved with an external organisation or activity.
- 6.5 Any LSE member of staff, LSE student or LSE visitor who has been given permission by LSE to use any of

LSE's name(s), logos, marks or domain names will comply with the Brand Identity Guidelines issued by LSE from time to time.

- 6.6 Any LSE member of staff, LSE student or LSE visitor must stop using any of LSE's name(s), logos, marks or domain names when that individual ceases to be an LSE member of staff, LSE student or LSE visitor or if they are breaching the provisions in this section or the Brand Identity Guidelines.

## 7. COMMERCIALISATION AND OTHER DEVELOPMENT OF RESEARCH

### 7.1 General

- 7.1.1 In order to enhance the impact of their research, and potentially to enable LSE, LSE members of staff, LSE students and LSE visitors to benefit from its commercial value, LSE wishes to encourage LSE members of staff, LSE students and LSE visitors to identify works which they think may have commercial potential and to assist in the development of their work for that purpose, and will seek to ensure that the benefits of any commercialisation are shared fairly between them and LSE.
- 7.1.2 In order to enhance the impact of their research, LSE also wishes to encourage LSE members of staff, LSE students and LSE visitors to identify works which have the potential to be disseminated through social enterprises or other not for profit vehicles, or on an open source basis, and to assist in the development of their work for those purposes including, where appropriate, ensuring protections are in place to prevent their commercial exploitation by others.
- 7.1.3 LSE members of staff may be permitted to carry out consultancy work outside their employment as specified in their employment contract and must comply with the relevant associated policies and procedures including the Outside Work Policy, advice on which can be provided by the LSE Consulting team (outside work undertaken as a purely private activity). If staff, students or visitors are undertaking consultancy in a purely private capacity (ie not through LSE Consulting) they must not represent themselves as acting on behalf of LSE nor use LSE headed stationery, nor use LSE premises, facilities or resources, and they will not be covered under the LSE's insurance policies.
- 7.1.4 Any LSE member of staff or LSE visitor who wishes to commercialise their work or intellectual property rights or to create the means for their wider dissemination and exploitation on a profit or not for profit basis, should contact LSE Innovation or LSE Consulting and must contact them if he or she wishes to commercialise the intellectual property rights of LSE or exploit them on a not for profit basis. Any LSE student who wishes to commercialise their work or intellectual property rights or to create the means for their wider dissemination and exploitation on a profit or not for profit basis may contact LSE Innovation for assistance, and must contact LSE Innovation or LSE Consulting if he or she wishes to commercialise the intellectual property rights of LSE or exploit them on a not for profit basis.
- 7.1.5 Any LSE member if staff, LSE student or LSE visitor who is unsure whether their work is or can be protected by intellectual property rights or rights of confidence or has the potential to be commercialised or exploited, should seek the advice of LSE Innovation or LSE Consulting.
- 7.1.6 LSE members of staff, students and visitors should be aware that even if they want to develop their works for use on a non-profit or open source basis that they should contact LSE Innovation for advice to ensure that the appropriate protections are put in place to protect the intellectual property rights in that work, for example by setting conditions of the use of that work by others for commercial purposes.
- 7.1.7 If LSE Innovation or LSE Consulting decides to assist in the commercialisation or exploitation on a not for profit basis of any work or intellectual property rights or rights of confidence of on the one hand LSE, and on the other LSE members of staff, LSE students or LSE visitors (each called a creator), LSE Innovation or LSE Consulting will work with the creator(s) to form a development plan and, where applicable, a plan for the sharing of revenues or the allotment of equity (or both) in accordance with this Policy.
- 7.1.8 In order to facilitate the development of work for commercialisation or its exploitation on a for profit or not for profit basis, e.g. through a not for profit vehicle or open source medium, LSE will normally require the creator to assign the intellectual property rights in the work to LSE, in so far as LSE does not own those rights, and work with the creator to develop them. The creator may also be requested to waive their moral rights in the work in order to facilitate the commercialisation or distribution of their work, in particular where that moral right interferes or is likely to interfere with the commercialisation of any work or the intellectual property rights in it. The LSE may at its discretion decide not to provide support for the development of the work if the creator does not accede to these requests or does not otherwise agree to abide by LSE's policies and procedures (for example relating to outside work, conflicts of interest or the LSE's Ethics Code). The LSE will seek to ensure a fair sharing in the profits which may result from the commercialisation or other development of those intellectual property rights as set out in section 7.2 below.
- 7.1.9 LSE members of staff, LSE students and LSE visitors are advised to keep records of the creation of any work in order to be able to show that they created that work and in particular to identify any third party rights in any data or materials used in the creation of that work which may limit their rights

or the rights of the LSE to use that work for commercial or other purposes. It should be noted that exemptions to copyright or uses of data which are available for work which is for research, teaching or non-commercial purposes are generally not available for commercial purposes, even if the material is publicly available, and so additional due diligence is likely to be required to ascertain that rights of third parties are not affected or that appropriate consents have been obtained.

- 7.1.10 Some ideas and concepts which are valuable for research or commercialisation purposes are not capable of being protected by intellectual property rights and are valuable only for so long as they are kept confidential. Notwithstanding academic norms of publication and open dissemination of ideas, LSE members of staff, LSE students and LSE visitors are advised that non-confidential disclosures of any work (including oral statements to another person, even where that disclosure is not made in a public setting) or confidential information (including, without limitation, the submission of any work or confidential information to any journal for review or publication, or to conference organisers or at a conference) may potentially jeopardise future research or commercialisation. LSE may require anyone seeking LSE's assistance to commercialise their work to keep it confidential while steps are taken to protect intellectual property rights or to agree exploitation arrangements (or both).
- 7.1.11 LSE Innovation and LSE Consulting are available to provide advice and assistance to LSE members of staff, LSE students and LSE visitors on any of the above matters. In particular, given the need to strike a balance between early dissemination of ideas and the need for confidentiality in order to enable their development, anyone who wishes to explore the possibility of commercialising their work or intellectual property rights or to create the means for their wider dissemination and exploitation on a profit or not for profit basis should consult with LSE Innovation or LSE Consulting as early as possible in the research process and preferably before making any disclosure of any idea.

## 7.2 Revenue Sharing and Equity in Spin-out Companies

- 7.2.1 LSE takes a collaborative approach to the commercialisation of intellectual property rights and this Policy is designed to ensure that, where possible, LSE and the creators of a work each receives a fair share of the financial returns from the commercialisation of that work. If LSE receives any revenues from the licensing or assignment of any intellectual property rights in any work created by any LSE member of staff, LSE student or LSE visitor which they have assigned to LSE, the net revenues (after the deduction of costs in accordance with Appendix A) will normally be shared between the creators of the work, their department, centre or institute, and LSE in accordance with Appendix A to this Policy.
- 7.2.2 Where several individuals who are LSE members of staff, LSE students or LSE visitors contribute to the creation of any work in which they assign the intellectual property rights to LSE and where LSE receives any revenues from the licensing or assignment of those rights, the usual proportion of revenue payable to them as creators is set out in Annex A. The creators will be responsible for deciding amongst themselves how the proportion of the net revenues (after the deduction of direct costs) payable to them is split between them. In making that decision they must comply with LSE's Ethics Code and Conflicts of Interest Policy.
- 7.2.3 The revenue sharing arrangements set out in this Policy will continue after a creator has ceased to be an LSE member of staff, an LSE student or an LSE visitor. If an LSE member of staff, an LSE student or an LSE visitor dies, their estate will be entitled to the deceased's share of any revenues. LSE will not be obliged to pay any revenue share to any LSE member of staff, an LSE student or an LSE visitor, or to their estate if that individual or their estate has not provided LSE with up-to-date contact details and the LSE has made reasonable endeavours to contact them.
- 7.2.4 If LSE (or a subsidiary company of LSE) takes any equity in a spin-out company in return for the licensing or assignment of any intellectual property rights in any work created by an LSE member of staff, LSE student or LSE visitor, that person may be given the opportunity to take equity in that company in addition to, or in lieu of, all or part of their revenue share in accordance with Appendix A. LSE Innovation and LSE Consulting are available to provide advice and assistance to LSE members of staff, LSE students and LSE visitors on any of these matters.

## 8. LSE'S DEALINGS WITH INTELLECTUAL PROPERTY RIGHTS

- 8.1 LSE may deal with any intellectual property rights which it owns fully or partially, or which have been licensed to it as it determines and in accordance with the principles set out in this Policy provided LSE:
  - a) honours any right the creator may have to share in the revenues received by LSE as set out in paragraph 7.2; and
  - b) complies with the terms of the licence and any other obligations to third parties.
- 8.2 LSE may decide not to use, commercialise or exploit any intellectual property rights or confidential information or materials, and may decline to assist any LSE member of staff, LSE student or LSE visitor in the exploitation or protection of their rights at its discretion, though that discretion will be exercised in compliance with the principles of this Policy. In such cases the LSE will grant an exclusive licence to the creator (License Back to Creators) so that they can take over the commercialisation themselves. In return

the creator will agree to give back 1% of net sales as royalty payment to LSE, or 10% where they do not commercialise the IP themselves but find a licensee to do so instead.

- 8.3 LSE may take such action as it decides if it discovers that its intellectual property rights have been infringed, that its rights of confidence have been breached or that there is a threat that they will be infringed or breached. However, LSE is not obligated to take legal action if it is of the view that any remedy in law it is likely to get will be unsatisfactory due to the amount, time, risk or reputation cost involved in taking that legal action.

## **9. RESPONSIBILITIES WITHIN LSE**

- 9.1 The LSE Council is responsible for approving this Policy and any amendments or updates to it which significantly affect the allocation of intellectual property rights under the Policy between the School and its staff, students or visitors.
- 9.2 The LSE Council or the School Management Committee may initiate a review of this Policy from time to time. That review will be undertaken in consultation with LSE members of staff, LSE students and LSE visitors in accordance with LSE's governance channels and normal and mandated practices, including consultation with Academic Board. SMC may approve all other changes to the policy which do not fundamentally change the allocation of intellectual property rights set out in this Policy.
- 9.3 Responsibility for the management and implementation of this Policy, including the approval for licensing LSE IP and for the creation of spin outs, lies with the LSE School Secretary, who may delegate that responsibility.
- 9.4 Responsibility for taking any decision in relation to the protection of LSE's intellectual property rights or rights of use including, without limitation, applying for and maintaining any registration, abandoning any application and not renewing any registration, lies with the LSE School Secretary, who may delegate that responsibility.
- 9.5 Responsibility for pursuing or bringing any claim against any infringer of LSE's intellectual property rights or rights of use or anyone who breaches LSE's rights of confidence or settling any claim in relation to any intellectual property rights, rights of use or rights of confidence, lies with the LSE School Secretary, who may delegate that responsibility.
- 9.6 Responsibility for taking any decision in relation to the commercialisation, exploitation, licensing or assignment of any intellectual property rights or permitting the disclosure or use (or both) of any confidential information or confidential works lies with the LSE School Secretary, who may delegate that responsibility.
- 9.7 Requests for LSE to consider granting any such license or making any such assignment must be made to LSE Innovation in the first instance.

## **10. CONFLICTS OF INTEREST**

LSE members of staff, LSE students and LSE visitors must report any conflict of interest between, on the one hand, the interests of LSE and, on the other hand, that individual's personal, professional, and business interests (and those of their relatives and business associates) so that they may be appropriately managed in accordance with LSE's Conflict of Interests Policy.

## **11. DISPUTES**

If there is an individual dispute concerning this Policy, LSE's interpretation or any of the matters contained or referred to in this Policy, that dispute, if it cannot be resolved amicably, will be referred, in the first instance, to the School Secretary who may refer it to an independent third party for resolution, including, without limitation, an independent arbitrator or mediator.

## **12. PUBLICATION OF THIS POLICY**

- 12.1 LSE will publish this Policy and any amendment or update to it on LSE's website.

## APPENDIX A REVENUE SHARING AND EQUITY IN SPIN-OUT COMPANIES

### Eligibility

Whether or not a creator is eligible to receive a share of revenues from the exploitation of a work or any equity in a spin-out company will be determined by their contribution to the creation of the intellectual property rights, as set out in the relevant UK law governing the subject.

In the case of patentable inventions, only those individuals who have made an inventive contribution identified in a pending patent application or issued patent will be considered eligible.

An individual who was previously identified as an inventor on a pending patent application, but is no longer so identified because a change in the claims of the patent application necessitated a change in the named inventors on that application, may still be entitled to receive a share of revenues or any equity in a spin-out company, provided that all named inventors on that pending patent application agreeing in writing to their inclusion.

### Net Revenues

Net revenues refers to the gross revenues actually received by LSE from the licensing or assignment of any intellectual property rights in a work created by any LSE member of staff, LSE student or LSE visitor, or from the sale of LSE's equity in any spin-out company after the deduction of:

- a) any and all expenses incurred by LSE (including, without limitation, patent agent's fees) in connection with the filing, prosecution and maintenance of the intellectual property rights;
- b) any and all legal fees incurred by LSE in connection with the creation, ownership and commercialisation, exploitation, defence and enforcement of the work or the intellectual property rights in it;
- c) any and all expenditure by LSE on insurance relating to the maintenance and enforcement of the intellectual property rights;
- d) any and all revenue shares payable to third parties, such as sponsors and collaborators;
- e) any and all other costs and expenses incurred by LSE in connection with any of the following: the creation, ownership and commercialisation, exploitation, defence and enforcement of the work and the intellectual property rights in it and including a contribution towards the costs of LSE Innovation, but excluding any expenses which have been covered by external funding including by grants such as HEIF; and
- f) any and all other expense incurred by LSE and agreed between LSE and the creators of the work. LSE will keep a record of all expenses associated with each project.

### Normal Revenue Distribution

Net Revenues (in aggregate)	Shares of Net Revenues		
	Creators (in aggregate)	Department/Centre/ Institute	
LSE			
Up to and including £50,000K	20%	80%	0%
Greater than £50,000, but equal to or less than £150,000	20%	60%	20%
Greater than £150,000	20%	50%	30%

LSE gives no guarantee as to the amount of any Net Revenues

LSE employees acknowledge that the share of Net Revenues is just and fair for the purposes of sections 40 to 42 of the Patents Act 1977 or any similar provision in force from time to time in respect of intellectual property rights.

LSE members of staff, LSE students and LSE visitors will enter into a separate written agreement in writing to give effect to the sharing of Net Revenues signed by all eligible creators and the LSE with respect to each project and that agreement will take precedence over this Policy. In exceptional cases the revenue distribution may vary from those set out in this Policy.

That revenue sharing agreement may include an individual who has made a contribution to the Intellectual Property rights but who is not a creator, for the purpose of revenue distribution under this Policy, provided that the named creators who are sacrificing a portion of their revenue share in favour of that individual agree to their inclusion in writing.

In the absence of any written revenue sharing agreement, payment of revenue shares will be made annually in arrears, and payments will be made only once a minimum of £100 is due. In the case of LSE employees, payments will be subject to the deduction of income tax and, where applicable employees' NICs.

Where it is agreed that an LSE member of staff, LSE student or LSE visitor will receive equity in a spin-out company, that equity will be in lieu of any revenue share so as to avoid any conflict of interest, except that an LSE member of

staff, LSE student or LSE visitor may, if agreed in writing by LSE, take both a revenue share and equity where that LSE member of staff, LSE student or LSE visitor is not involved in the management or running of the spin-out company. That person may still be remunerated by the company for separately contracted for advisory or consultancy services, but all such services MUST be provided through LSE Consulting to ensure conflicts of interest are appropriately managed. If a revenue share is to be taken, it will normally be on the basis of the normal revenue distribution set out above.

Note that the LSE may withhold any revenue share which has otherwise been agreed if the LSE member of staff, LSE student or LSE visitor has not complied with this policy.

### Equity shares in spin-outs or related companies

The following table gives an indication of typical shares of equity assuming that there are no other investors, but the actual share of equity of an LSE member of staff, LSE student or LSE visitor in a spin-out company will be negotiated on a case by case basis, having regard to the potential value of the business being created and the respective contributions, commitments and involvement of the LSE members of staff, LSE students, LSE visitors, LSE and any other investors. The levels of equity share will vary on a case by case basis but the LSE share will not normally exceed 30%.

LSE's contribution to development and on-going support	LSE or LSE's subsidiary's equity	Creators' equity (in aggregate)
None	5-10%	95-90%
LSE contribution to development, but no ongoing support	10-15%	90-85%
LSE contribution to development and on-going support (including an observer on the board)	15-30%	

The LSE may also accept convertible notes in certain circumstances but would normally require a 20-25% discount on the share price on conversion.

How contributions of new intellectual property rights and funding after the formation are recognised in terms of equity or other security interests are matters for negotiation and agreement at the relevant time. Where LSE receives equity in a company other than in return for the licensing or assignment of intellectual property rights to a new company including, without limitation, in return for investment in that company or in consideration for access to LSE's facilities or resources, LSE members of staff, LSE students and LSE visitors will not be entitled to share any income received in relation to that equity. However, LSE may distribute income to a unit of the School, including a Department, Institute, Centre or professional services division, whose resources (including staff time) have contributed significantly to the creation of the company.

LSE will not hold shares on behalf of LSE staff, students or visitors. If a member of LSE staff, student or visitor wants to take equity in a company they must do so directly.

The LSE has an obligation to ensure that spin out or related companies are run properly and do not act in a way which may damage the reputation of the LSE. To that end the LSE may require that it has an observer on the board of the company.

A post-licensing spin out company must enter into a separate agreement with LSE if it wishes to continue to benefit from LSE resources, including access to space, IT resources, and from LSE personnel including professional service staff and students.

## APPENDIX B DEFINITIONS

**to assign:** to transfer ownership and assignment is a transfer of ownership of intellectual property rights; to commercialise: to use intellectual property rights in a way intended to generate value or a commercial return, for example in the form of a marketable product, process or service;

**confidential information:** information which has not been disclosed unless under a non-disclosure agreement;

**a creator:** an individual who creates or makes a substantial intellectual contribution to a work;

**to create:** to write, author, code, produce, develop, invent, conceive, reduce to practice, devise, design, perform, translate or some other way create a work or make a substantial intellectual contribution to a work;

**a data subject:** an individual who is the subject of personal data;

**equity:** ordinary or voting shares and / or share options or similar interests in the capital of a spin-out company;

**to exploit:** to use intellectual property rights, except for the academic or research purposes, including (without limitation) to commercialise intellectual property rights;

**to infringe:** to use intellectual property rights or a work protected by intellectual property rights without a licence, and an infringer is someone who is not the owner and uses intellectual property rights or a work protected by intellectual property rights without a licence;



**intellectual property rights:** rights which allow the owners of those rights to control how a work is used and exploited; see the sources of information about intellectual property rights in Appendix B;

**know-how:** technical, business, or financial or marketing information that is not in the public domain, which may include copyrighted materials, trade secrets, inventions, designs, processes etc;

**a licence:** permission or authority to use intellectual property rights or confidential information (or both);

**a licensee:** a person (including a business entity) that uses, exploits or commercialises any intellectual property rights licensed to or assigned to that company by LSE

**LSE's facilities and resources:** for example, any and all of the following provided by LSE: pre-existing intellectual property rights or works, pre-existing know-how or confidential information, office space, other accommodation, an LSE IT account, an LSE email address, access to the LSE library, professional support services, funding, reimbursement of expenses, and any other service or assistance from LSE members of staff or LSE's advisers;

**moral rights:** include: -the right to be recognised as the creator of a work; -the right to object to derogatory treatment of a work; and -the right not to be named as the creator of a work which the creator did not create;

**a non-disclosure agreement:** an agreement which contains an obligation to keep information or materials confidential and often a restriction on the use of that information or materials for limited purposes; sometimes called an NDA or a confidentiality agreement;

**a performance:** a live performance, whether or not in front of an audience;

**personal data:** information which relates to a living individual who is identified or can be identified (whether from that information or from other information) including, without limitation, any image of that person;

**teaching materials:** any work produced for the purpose of developing or delivering LSE's curricula including, without limitation, course materials and materials distributed to students for the purposes of the curricula through any means and including the content of lectures, teaching events and other teaching activities; recordings (audio and audio-visual) of lectures, teaching events and other teaching activities regardless of the form of expression, including courses delivered in digital forms; but excluding the creator's teaching preparatory notes which are not distributed to students; it does not include materials prepared or delivered for in-house training and / or for administrative and management purposes

**a recording:** a film, or sound recording, made directly from a live performance, a broadcast of the performance, or made from another recording of it and to record is interpreted accordingly;

**research:** work undertaken on a systematic basis in order to increase the stock of knowledge and the use of this stock of knowledge to devise new applications, comprising: basic research, applied research and experimental development and including policy advice and related materials; it does not include work created for the purposes of the management or administration of the LSE or any unit within it;

**right of confidence:** the right of a person to insist that information or material is kept confidential, often created under a non-disclosure agreement but sometimes inferred from the nature of information or the circumstances of its disclosure;

**scholarly works:** materials created as part of research activity and include, without limitation: books; articles in peer-reviewed journals; conference papers; blogs relating to research projects; computer software and databases created as part of research activity; teaching preparatory notes which are not distributed to students; policy reports; and other publications of a similar nature to any of those listed above, regardless of whether the publication is in traditional or electronic form, but the following are not scholarly works: teaching materials; any work commissioned by LSE (whether or not for separate remuneration); any work created for the purposes of the management or administration of the LSE or any unit within it including training materials or presentations prepared for administrative or management purposes, computer software and databases including computer software and databases created as part of research with the intention to develop through commercialisation or which have commercial potential

**a spin-out company:** a company that involves an LSE related founder or cofounder, and / or that involves LSE during its formation stage (which can include having LSE as a shareholder) and / or that licences or owns LSE derived intellectual property

**substantial use:** extensive unreimbursed use of any of LSE's facilities and resources, except the use of the LSE Library, office space or other premises and, in the case of an LSE student, the teaching of the LSE course on which that LSE student is registered;

**a trade secret:** confidential information which is not publicly available and which has commercial value because it is confidential;

**a work:** something which is protected or is capable of being protected by one or more intellectual property rights or by rights of confidence, for instance: a literary or written work including publications, drafts, notebooks, records, teaching materials, computer code and preparatory design material for a computer program; a database, a collection of materials, a table or a compilation of data or works, a dramatic, musical or artistic work including, a film, a recording, a broadcast, an audio-visual or multimedia work, a dramatic work, a performance, a drawing, photograph or image, an invention, knowhow and technical information, trade secrets and confidential information, and any other work created making substantial use of LSE's facilities or resources or commissioned by LSE (whether or not for separate remuneration).



**SOURCES OF INFORMATION ABOUT INTELLECTUAL PROPERTY RIGHTS IN THE UK**

[www.gov.uk/intellectual-property-an-overview](http://www.gov.uk/intellectual-property-an-overview)

<https://www.gov.uk/government/publications/ip-basics/ip-basics>

<https://www.gov.uk/topic/intellectual-property/copyright>

<https://www.gov.uk/topic/intellectual-property/patents>

<https://www.gov.uk/topic/intellectual-property/designs>

<https://www.gov.uk/topic/intellectual-property/trade-marks>

<https://www.ipo.gov.uk/iphealthcheck.htm>

<https://www.gov.uk/government/publications/intellectual-property-for-universities>

**Review schedule:**

Review interval	Next review due by	Next review start
1 year	May 2021	Feb 2021

**Version history:**

Version	Date	Approved by	Notes
1.0	11 February 2020	Council	
1.0	12 December 2019	Academic Board	

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**Equality Impact Assessment:**

EIA completed?	Yes
Date Completed	1st November 2019

**Communications and Training:**

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Guidance currently being compiled to accompany the policy

# EQUITY, DIVERSITY AND INCLUSION (EDI) POLICY STATEMENT

LSE is committed to building a diverse, equitable and truly inclusive university.

One of the six strategic priorities identified in the School's 2020 Strategy is to advance equity, diversity and inclusion, and 'equality of respect and opportunity' is a core principle of the School's Ethics Code.

In building on the work of the Equity, Diversity and Inclusion Taskforce, the School's commitments are given effect through the following strands of focus, over the next five year period:

## 1. To advance diversity of student recruitment, equity of attainment, and an inclusive community.

### Key performance indicators:

**Recruitment:** the diversity of the student body is further increased at all levels: (undergraduate, taught postgraduate, and doctoral), through close partnerships with the Widening Participation and Student Recruitment teams.

**Attainment:** attainment gaps for black and minority ethnic students, and disabled students, are reduced, using 'value-added' data to assess degree attainment.

**Community:** the School provides a consistently positive experience, as measured through the National Student Survey, and in partnership with the LSE Students' Union (see also (4) below).

## 2. To promote inclusive teaching, education and engagement

### Key performance indicators:

**Inclusive programme design and review:** mechanisms are embedded to consider issues of inclusivity as an integral part of programme design and review.

**Inclusive learning environment:** the School develops and implements an inclusive teaching and learning strategy.

**Diversity of people and perspectives:** the School's events team continues actively to encourage diversity of speakers and perspectives in the School's public events programme.

## 3. To promote diversity amongst the School's staff communities, and an inclusive staff experience

### Key performance indicators:

**Diversity in School governance and management:** membership of Council, the Court of Governors, the School Management Committee, and other major decision-making bodies within the School, reflect the diversity of the community as a whole.

**Diversity in staffing:** the School attracts applicants from currently under-represented groups, with a particular focus on ethnicity in the recruitment of academics and senior professional services staff to achieve, develop and maintain workforce diversity across levels and functions.

**Career advancement:** monitoring, analysis and improvements are initiated with respect to career advancement, specifically for under-represented groups. For career-track academic staff, the promotion success rate should not differ across groups of staff.

**Pay equity:** pay equity is achieved for academic and professional services staff.

Supportive policies: the School's policies (for example regarding workload allocations, flexible working, and core hours) foster equity and inclusion.

## 4. To achieve an inclusive School environment, which promotes equality of respect and opportunity for all members of the School's diverse community.

### Key performance indicators:

**Staff and student engagement:** staff and student networks are active partners in promoting the institutional values outlined in the School's Ethics Code and the Student Charter.

**Survey evidence:** the National Student Survey and the School's Staff Survey evidence consistent improvements in the experience of all members of the School's community.

**Active communication channels:** the School runs one communications campaign each year in partnership with the LSE Students' Union, on issues of equity, diversity and inclusion.

**Robust and transparent reporting:** mechanisms are further embedded to ensure that any issues of bullying and harassment can be readily reported, and addressed promptly and supportively.

**Centralised advice and expertise:** mechanisms are in place to ensure that relevant aspects of the School's processes and procedures take account of issues of equity, diversity and inclusion, in accordance with the School's public sector equality duty.

**External recognition:** the School achieves recognition from bodies such as the Equality Challenge Unit (Athena SWAN and Race Equality Charter) and Stonewall (the LGBT+ workplace equality index).

## 242 School Regulations

### Review schedule:

Review interval	Next review due by	Next review start
3 years	Oct 2020	Jul 2020

### Version history:

Version	Date	Approved by	Notes
1	17 Oct 2017	Council	

### Links:

Reference	Link
Policy statement on equity and diversity	<a href="http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/polStaEquDiv.pdf">http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/polStaEquDiv.pdf</a>

### Contacts:

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### Communications and Training:

Will this document be publicised through Internal Communications?	<b>Yes</b>
Will training needs arise from this policy	<b>TBC</b>
If Yes, please give details:	

# POLICY ON TRANS STAFF AND STUDENTS

## INTRODUCTION

The School celebrates and values diversity in both its workforce and student population. All staff and students should be able to be themselves at LSE, have equal access to services and facilities, reach their full potential and be treated with dignity and respect.

All staff and students work better if they can be themselves, and this is no different for trans members of the LSE community. However, many trans people still choose not to express their gender identity in their place of work, or study, because they fear a transphobic reaction from staff members or students. This can cause great stress and is likely to undermine their ability to focus on their job, or their studies. An environment in which diversity is celebrated, ensures that valuable staff are recruited and retained, and students obtain better results – an approach that benefits everyone, not just the groups targeted.

## POLICY AIMS

This policy sets out how the School will ensure an inclusive culture that both welcomes and supports trans staff and students and promotes an environment that is free from discrimination. Furthermore, this policy seeks to further positive relations amongst staff, students and the broader community of which we are all a part by acting as an information resource for those who wish to gain a greater understanding of trans matters at LSE.

The accompanying guidance note also outlines practical support that is available should staff or students seek to transition whilst working or studying at LSE.

This policy will ensure that LSE protects its staff and students in line with current legislation (see heading 'Legislation')

## DEFINITIONS

**Trans** is an umbrella term covering a diverse range of gender identities that are not typically associated with an individual's sex as assigned at birth on the basis of genital appearance.

Language in this area changes continuously, and is also deeply personal. There are many individual preferences of terms and definitions. In this policy, the term 'trans' is used to recognise the broadest range of gender diversity, including those that fall between or outside the 'man' or 'woman' binary identities. Therefore, the policy also implicitly recognises identities that are 'non-binary' and 'non-gender'.

**Gender dysphoria** is a condition where a person experiences discomfort or distress because there is a mismatch between their biological sex and gender identity. Often people with gender dysphoria will wish to live according to their gender identity, rather than their assigned sex.

**Transition** refers to the point at which a person changes their gender expression to align it with their gender identity rather than their assigned sex. This may involve social change of dress, names, pronouns and titles; it may or may not be supported by medical and legal interventions. Some individuals will only take small steps, but others may undertake a series of permanent social and medical changes.

**Transphobia** is a term used to describe discrimination, harassment or victimisation, experienced by trans people, as a direct result of their known or perceived gender non-conforming identity or expression.

## POLICY PRINCIPLES

### Preventing discrimination

The School will not tolerate discrimination (direct or indirect), harassment, or victimisation on the basis of gender identity, nor any other protected characteristic.

The School is committed to ensuring that trans staff and students are not treated less favourably than non-trans members of the School community, as a consequence of being trans or being perceived as trans. The School is committed to assessing its policies and procedures to actively foster good relations and to mitigate any unintended negative impacts on trans staff and students.

These issues are also considered under the School's **Anti-Bullying and Anti-Harassment Policy**, and where they are reported, they will be investigated as appropriate under the School's relevant staff or student procedure. Actions or behaviour which may constitute harassment include: name-calling, derogatory jokes or offensive comments, and inappropriate questioning, whether directly or through social media. This policy also covers any such inappropriate behaviours, whether related or unrelated to a protected characteristic.

LSE has responsibility to protect and promote freedom of speech within the law. However, legal obligations also exist which may set limits on certain freedoms, in order to protect the rights and freedoms of others. At controversial events it is not prudent to have someone in the chair whose own views mean they may not be seen as a neutral chairperson. Also, at controversial events it is particularly important that the Chair seeks to ensure that there is an opportunity for the views of the<sup>1</sup> speaker(s) to be challenged (and ensure a right of reply)<sup>2</sup>.

### Commitment to trans equality

The School is committed actively to promoting good relations, and an inclusive and supportive environment for all staff and students. In relation to trans staff and students in particular, we are committed to the following:

- Trans students will receive fair and equal treatment during their programme of study, and will not be denied access to programmes, or progression to further programmes of study.
- The School will provide options for gender neutral titles within staff and student records, e.g. Mx , and use gender neutral language in its formal communications.
- Programme content will strive to be inclusive. Any historical material that contains stereotypical depictions of trans people or transphobic material will be open to critical analysis.
- Trans students should always be accommodated according to their full-time gender expression, unless they choose otherwise. Concerns or issues that are raised by trans students will be handled sensitively and fairly by Residential Services<sup>2</sup>.
- Staff and students who wish to disclose their trans history or give notification of their intention to transition will be supported sensitively and be allocated a mentor or 'point of contact' to help make all necessary arrangements, including the update of School records and systems with any new name and title (see separate guidance on 'transitioning at work'). It may be necessary to replace, rather than amend, degree and other certificates using the new name.
- The School will respect the confidentiality of trans staff and students and will not reveal/share this information without the prior agreement of the individual concerned. Where paper documents cannot be changed they will be kept separately in double sealed envelopes bearing the name of a person or persons who may have access, under certain circumstances, with the permission of the individual concerned (unless emergency circumstances prevail). IT records must be password protected in such a way that they are not accessible to anyone other than those directly involved.
- Staff and students undergoing medical and surgical procedures related to transition will receive positive support from the School to meet their particular needs during this period.
- Where a person needs to take time off work or study for medical assistance because of transition, they should not be treated any less favourably than if the absence were due to another cause such as sickness or injury.
- It will not be relevant for the purpose of staff recruitment, selection and promotion, access to training and benefits etc. that a person is trans or has a trans history.
- In circumstances where the School requires **official confirmation** of a person's identity, staff and students will be given the option of providing different types of documentation such as a driving licence, passport, deed poll or statutory declaration. Birth certificates are not identity documents and may 'out' a trans person, so will not be required except, for instance, to prove the right to work in the UK. Trans people may not hold the full range of documents reflective of their current name and gender status and the School will be flexible in its requirements.
- In the few instances where uniforms and/or dress codes are required by the School, these do not reinforce binary gender stereotypes.
- It is good practice to have adequate gender neutral toilets to accommodate non-binary, non-gender and other gender diverse people. However, the School recognises that trans people must not be obliged to use these facilities where male and female designated toilets are also provided, unless they choose to do so. From the moment a person transitions they should have access to the toilets that are appropriate to their gender identity and expression. Others who are not willing to share toilet facilities with a trans person will have the option of using gender neutral or accessible facilities.

### Promotion of trans equality

To ensure that LSE maintains a secure and inclusive culture for trans staff and students, the following proactive measures will take place to foster a safe and welcoming environment:

- Trans equality and gender identity issues will form part of generic equity, diversity and inclusion (EDI) training courses and modules
- Trans equality (along with other EDI issues) will be reinforced and 'mainstreamed' across staff training course content. e.g. gender identity issues will be included in case studies, training exercises etc., where relevant.
- Gender identity will be considered alongside other protected characteristics when policies and procedures are reviewed and/or designed, as part of the equality analysis (equality impact assessment) process.
- Our publicity, literature and public events will reflect the diversity of our staff and students, and wider society.
- Staff and student network groups that specifically include trans individuals will be supported to flourish and to encourage trans staff and students to actively participate in broader School life.

### Legislation

**The Equality Act 2010** applies to nine protected characteristics, of which 'gender reassignment' is one. This characteristic describes individuals who propose to undergo, are undergoing, or have undergone a process (or part of a process) to bring their gender expression and status into alignment with their gender identity. The School interprets the

duties relating to this particular characteristic as going beyond those who fall under this specific definition and applying to broader matters of gender identity.

The School has a Public Sector Equality Duty, and therefore has a general duty to have due regard to eliminating discrimination (direct and indirect), harassment and victimisation; it must provide equality of opportunity, and foster good relations between those who have the protected characteristic (of gender reassignment), and others who do not have it.

Specific duties require the School to collect data, and to analyse the effect of its policies on protected groups, and to publish these.

- Direct discrimination occurs when a trans member of staff or a student is treated less favourably than non-trans members of the School community, as a consequence of being trans or being perceived as trans.
- Indirect discrimination may arise where a policy, practice or criterion within the School that applies equally to all staff and students has an adverse impact upon trans staff and students, that cannot be properly justified.
- Victimisation may occur, for instance, when a trans person, (or a person acting on their behalf) makes a complaint that discrimination has occurred because they are trans. If, as a result of the complaint, harassment or further discrimination occurs, this would be 'victimisation'.
- Positive action under the Equality Act may be used to encourage applicants from this protected group. A trans person may be selected in preference to a candidate who is equally qualified for the post, on the basis that trans people are under-represented in the School's staff. Positive action in this manner is applicable to all under-represented protected groups.

**The Human Rights Act 1998 (HRA):** underpins all equality legislation that relates to employers in the public sector, and those for whom they provide services. Article 8, in particular, requires trans and non-binary people to be treated with respect, dignity and fairness, and to protect their privacy in family life and correspondence. Article 3 creates an absolute ban on degrading treatment. Article 14 is also important; it does not stand alone, but it ensures that all the other Articles under the HRA are delivered in a non-discriminatory way.

**Data Protection Act 1998 (DPA):** All IT records of the individual's personal life and medical history ("sensitive personal data") must be secured in line with the Data Protection Act, including password-protection, and should be "kept for no longer than is absolutely necessary". Any named person who needs to access this private information, must still ask permission of the individual concerned, unless there is an emergency situation and the individual is unable to give permission. Employers should note that an individual who suffers damage by reason of any contravention by a data controller of any of the requirements of the DPA is entitled to compensation from the data controller for that damage.

**The Gender Recognition Act 2004:** A Gender Recognition Certificate enables the person to have a new birth certificate, if their birth was registered in the UK, and to be legally recognised 'for all purposes' according to their new gender role and expression, including in marriage, same-sex marriage and civil partnership. The Gender Recognition Certificate (GRC) may be obtained by application to the Gender Recognition Panel.<sup>3</sup> Applicants must provide evidence that they have lived permanently in their new gender role, full-time, for two years prior to their application. They must be at least 18 years old. A 'diagnosis' of gender dysphoria is required, but no medical interventions have to be undertaken. Trans people may obtain a GRC within a pre-existing (heterosexual) marriage, which must, however, be converted to a 'same-sex' marriage, with the written consent of the non-trans spouse; it may also be converted to a Civil Partnership if that is preferred. When a trans person seeks to obtain a GRC within a pre-existing Civil Partnership, that partnership must be changed into a (heterosexual) marriage, with the written consent of the non-trans partner.

A GRC is held by only a minority of trans people, and it has little relevance in the School setting. Its privacy provisions extend what is already available under Data Protection, and Human Rights legislation, and make it a potentially criminal act to disclose, without the person's permission, their trans status or history.

### Footnotes

- <sup>1</sup> For further information, please see <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/codOfGodPraFreSpe.pdf> and <http://www.lse.ac.uk/intranet/LSEServices/communications/eventsOffice/information/securityfreespeechstaff.aspx>
- <sup>2</sup> Please see School Accommodation Policy
- <sup>3</sup> <https://www.gov.uk/apply-gender-recognition-certificate/overview>

See the **Calendar** for further information about Programme Regulations, Course Guides, School and academic Regulations.

### Review schedule:

Review interval	Next review due by	Next review start
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### Version history:

Version	Date	Approved by	Notes
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### Links:

Reference	Link
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Contacts:

Position	Name	Email	Notes
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Communications and Training:

Will this document be publicised through Internal Communications?	Yes/No
Will training needs arise from this policy	Yes/No

If Yes, please give details:



# DISABILITY POLICY

## 1. Introduction

- 1.1. LSE (hereafter 'the School') is committed to providing and developing a positive, supportive and enabling environment for all staff, including staff with disabilities. This policy builds upon this commitment in the context of the Equality Act 2010, which places a general duty on all higher education institutions to promote inclusion and disability equality. Under these duties, the School is required to:
  - Promote equality of opportunity for disabled people.
  - Promote positive attitudes towards disabled people.
  - Involve disabled people in the formulation of actions.
  - Encourage participation by disabled people in public life.
  - Meet disabled people's needs, including additional measures to enable them to work on an equal basis as non-disabled people.
  - Eliminate unlawful discrimination.
  - Eliminate harassment of disabled people.
  - Identify and analyse policies, practices and procedures that are potentially discriminatory.
  - As part of its Public Sector Equality Duty, reflect in its policies and procedures that disabled people's needs may be different from those of non-disabled people.
- 1.2. This policy sets out the responsibilities that apply to different individuals to ensure a supportive environment for disabled individuals. In addition to the responsibilities that sit with line managers and certain functions, the policy also details how the School's Disability and Mental Health Adviser role provides confidential guidance to staff and managers as well as coordinating key areas to ensure that reasonable adjustments and other support are provided in a timely and appropriate manner.
- 1.3. This policy is accompanied by an Equality Impact Assessment (EIA) which aims to identify the policy's impact in terms of protected characteristics as well as ways in which any negative impact may be mitigated. Further details on the School's EIA process can be found on the [EDI webpages](#).
- 1.4. This policy is supported by guidance for staff and managers which clarifies the process within the School for agreeing, implementing and reviewing reasonable adjustments. In the instance of a conflict between this policy and the supporting guidance, the policy should take precedence. At all times, a fair and reasonable approach should be taken which focuses on solutions to support the employee in their role.

## 2. Policy aims

This policy aims to:

- 2.1. Set out the ways in which the School is committed to creating a positive and inclusive environment for people with a disability or long-term condition, both seen and unseen.
- 2.2. Outline the process by which individuals can share a disability and be supported through a process of implementing and reviewing reasonable adjustments.
- 2.3. Provide a framework to contribute to the ongoing development of an enabling environment by addressing some of the specific practical needs of disabled individuals and providing support (e.g. training) for staff and managers.

## 3. Policy scope

- 3.1. This policy and its supporting guidance apply to all School staff, whether salaried or hourly paid. Outside these staff groups, the School also has a duty of care – including a duty towards an inclusive environment as regards disability - to agency staff, contractors and other individuals on School business.
- 3.2. A separate policy exists for the School's student community. In addition to the provisions in this policy, staff who are also students can access confidential support and advice in relation to their student status via the [Disability and Wellbeing Service](#), as part of the School's commitment to an inclusive learning environment.
- 3.3. This policy should be read alongside other School policies that support a diverse, inclusive and respectful community, including:
  - The [Dignity at Work Statement](#) which applies to all School staff and clarifies expectations of behaviour, as well as setting out the means by which inappropriate behaviour which falls short of bullying or harassment can be easily identified, addressed and resolved.
  - The [Ethics Code](#) which sets out six core principles for behaviour that apply across the LSE community.
  - The [Discrimination, Harassment and Bullying Policy](#) which sets out the process by which staff (and other members of the School community) may take formal action if they feel that they have been subject to discrimination, harassment or other adverse treatment on the basis of disability.
  - The [Etiquette Policy for Email and other Online Communication](#) Tools, which focuses on behaviours and

etiquette when working and collaborating online.

- The **Capability Health Policy and Procedure**, which sets out the procedure to be followed where a health condition is having a long-term and/or continuous impact on an employee's performance and/or attendance.
- The **Safeguarding Policy**, where an individual with a disability may also be considered within a vulnerable group.
- The **Fire Safety Policy**, which sets out the arrangements for individuals with disabilities in the event of an evacuation.

#### 4. Definition of disability

- 4.1. The Equality Act 2010 uses a definition of disability which includes but is not limited to those with physical or mobility impairments, visual impairments, hearing impairments, dyslexia, dyspraxia, dyscalculia, attention deficit (hyperactivity) disorder (AD(H)D), certain medical conditions, mental health conditions, autistic spectrum conditions, Chronic Fatigue Syndrome (CFS)/myalgic encephalomyelitis (ME) and other disabilities that may be 'unseen' (e.g. asthma, epilepsy, heart conditions, diabetes). The formal definition included in the Act is:  
*"A physical or mental impairment which has a substantial and long-term adverse effect on a person's ability to carry out normal day to day activities"*
- 4.2. The definition of 'day to day activities' includes mobility, manual dexterity, lifting, hearing, eyesight, speech, memory, and the ability to concentrate, learn or understand. The Act defines 'substantial' as being more than trivial and 'long-term' as being more than 12 months or likely to last 12 months.
- 4.3. An impairment which would substantially affect a person, but which is controlled by medical treatment or other support<sup>1</sup>, is still covered by the definition of disability. This includes cancer, HIV/AIDS and Multiple Sclerosis effectively from the point of diagnosis.
- 4.4. Conditions that are expected to be temporary (such as broken limbs) will not normally be considered a disability in themselves unless indicated otherwise by medical advice and evidence. At the same time, adjustments may be discussed and agreed locally, in consultation with relevant parties (e.g. HR) to ensure that the individual is supported in their role.
- 4.5. While acknowledging the medical definition of disability given above under the Equality Act 2010, in practical terms the School follows the social model of disability which focuses on addressing and removing barriers to participation among disabled individuals.

#### 5. Policy responsibilities

- 5.1. In line with the Equality Act 2010, the School is committed to ensuring a supportive workplace environment for disabled individuals. As set out here, both line managers and certain functions within the School have important roles to play in ensuring that disabled staff are supported and enabled appropriately in their work.
- 5.2. Employees:
  - Are encouraged to tell their line manager if they have a disability or long-term condition that is affecting them at work, so that the School can ensure that appropriate reasonable adjustments and/or other means of support are put in place.
  - Are encouraged to share information about any ongoing or new disability-related issues that are impacting on their work so that reasonable adjustments and other support can be implemented.
  - Have a role to play by treating everyone with dignity and respect, and in contributing towards an open and inclusive culture within their teams in which individuals feel comfortable sharing information about a disability (if they choose to do so).
- 5.3. Line managers are responsible for:
  - Creating an open and inclusive culture that enables staff to feel comfortable to share a disability and request reasonable adjustments.
  - Spotting the signs where it might reasonably be expected that an employee has a disability and/or might reasonably be expected that someone would need an adjustment.
  - Taking timely and appropriate steps to support employees who have shared information about a disability, including the implementation and review of reasonable adjustments.
  - When an employee shares that they have a disability, being open and receptive to the employee's needs, and seeking (and being open to) independent advice that can inform management of the condition in question, including reasonable adjustments.
  - Seeking further advice in a confidential and appropriate manner (e.g. from their HR Partner) before making decisions that impact on a disabled employee, as well as if they are unsure how best to support a disabled employee.
  - Attending relevant disability training to maintain up-to-date knowledge and awareness of disability issues.

- 5.4. The Disability and Mental Health Adviser is responsible for:
- Understanding the key responsibilities of respective areas that play a role in supporting disabled staff, and directing queries accordingly.
  - Coordinating between Health and Safety, HR Partners and DTS in ensuring staff are provided with relevant equipment, technology and furniture following an OH appointment or Access to Work evaluation.
  - Tracking specific cases and ensuring that the employee is kept regularly updated and informed of progress.
  - Carrying out regular case reviews and reporting key themes to the Disability and Accessibility Steering Group.
  - Escalating concerns regarding an individual case to the Director of Human Resources or, where necessary, the COO.
  - Reviewing monthly caseload with the Director of Human Resources and COO.
  - Providing confidential advice to staff and managers concerning disability support.
  - Providing specialist support to HR Partners in addressing disability issues.
  - Promoting best practice regarding disability support across the School.
- 5.5. Human Resources (HR) are responsible for:
- Providing appropriate advice and support to managers and employees.
  - Seeking specialist advice (such as via an Occupational Health referral) as required to inform reasonable adjustments for disabled staff.
  - Retaining, monitoring and reporting on disability data in confidence.
- 5.6. Other key services and their responsibilities include:
- Health and Safety for owning the design and process of workstation risk assessments, which inform more general support for staff (e.g. ensuring an ergonomic desk set-up).
  - DTS for supporting the provision of additional technologies to support individuals with disabilities (where applicable and approved by the relevant budget holder).
  - Estates for monitoring access requirements for staff (and other individuals) on campus, and for implementing updates to access requirements as required Estates also support the implementation of Personal Emergency Evacuation Plans (PEEPs), typically in consultation with the individual staff member and their line manager.
  - Staff Counselling for helping and advising disabled staff who approach them, both for work-based issues and situations relating to personal circumstances.
  - Other teams around the School may also have a role to play, depending on an individual's role and staff group, e.g. the Timetables Office provides timetabling support to academic staff.
- 5.7. In addition to the above, other members of staff – such as trade union safety representatives and staff network representatives - play a role towards a more supportive environment for disabled staff as well as contributing in specific cases.
- 5.8. The School also uses external services to provide additional support and advice which inform the management of disability (such as Occupational Health) as well as general wellbeing (such as the School's Employee Assistance Programme).

## 6. Policy principles

- 6.1. The School is committed to creating an inclusive, safe and supportive environment for all staff and to addressing the barriers to inclusion that adversely impact upon disabled people. In addition to supporting disabled staff in their current roles, this also means taking positive steps to ensure that disability is not a barrier to progression in employment.
- 6.2. All managers and staff have a role to play in ensuring that disabled individuals are treated with dignity and respect. In particular, managers and staff should be mindful that some employees may not wish to share information about a disability and some employees may have disabilities that are not immediately apparent. All staff should avoid using language that could be potentially stigmatising or demeaning to disabled staff. All staff who experience distress, on the basis of a disability or for any other reason, will be supported appropriately through the line-management structure, HR or by referral to appropriate supporting services (such as Staff Counselling).
- 6.3. The School considers its reasonable adjustment duty as fundamental to creating an inclusive, safe and supportive environment for all. Reasonable adjustments for disabled staff should be relevant to their individual needs, appropriate, inclusive and in accordance with the School's policies and procedures as well as equality legislation (including the Equality Act 2010).
- 6.4. The School endeavours to offer an environment where employees feel comfortable sharing information about a disability and asking for reasonable adjustments. Staff are not obliged to notify the School that they have a disability, although it may be in their interests to do this so that reasonable adjustments can be discussed and implemented. The School also recognises that not all disabilities are identified at the start

of an individual's employment, and some staff may experience and/or share information about a disability at a later stage. It is also recognised that certain conditions are likely to fluctuate and may change over time. The School will follow a similar process for discussing, identifying and implementing reasonable adjustments to support staff whenever an employee shares information about a disability or the line manager reasonably believes that the employee may be facing disability-related barriers at work.

- 6.5. All disability information is kept confidentially in accordance with the School's data protection procedures and GDPR obligations. Information relating to individual cases is only shared on a strictly 'need to know' basis, for example where information needs to be shared to support the effective implementation of a reasonable adjustment. This may include third parties, such as Occupational Health and other medical professionals. Wider demographic information regarding disability in the staff community may be shared in accordance with GDPR principles as well as any data sharing agreements that may be in place, such as with the School's recognised trade unions.
- 6.6. The School will use a number of means to raise disability awareness within the School community, including through the School's Staff Networks, focused wellbeing initiatives for staff and collaborative staff-student projects. The School will also seek to raise disability awareness with external organisations with whom the School is in regular contact, such as via the Supplier Code of Practice.

## 7. Sharing information about a disability

- 7.1. The School endeavours to offer an environment which encourages employees with a disability or long-term condition to feel comfortable sharing this information as part of an open and supportive workplace culture. Sharing information about a disability enables the School to inform staff about the support options available and to put in place reasonable adjustments that minimise any disadvantage and contribute towards a positive employment experience.
- 7.2. Telling the School information about a disability is at the employee's discretion and no employee should feel obliged to share information about a condition if they do not wish to do so. Where staff choose not to share new information or do not give consent for information to be shared for the purposes of support, there will be restrictions or limitations on the level of support and the nature of reasonable adjustments that the School can offer. In particular, staff should note that, if they choose not to share information about a disability or any barriers they are facing at work, it may be difficult for the School to put effective and appropriate adjustments in place. This is also the case for implementing a Personal Emergency Evacuation Plan (PEEP) for employees who may need support in evacuating a campus building in an emergency.
- 7.3. An employee may decide to tell the School if they have a disability during recruitment or as part of their induction process. Current staff may choose to tell the School about a disability at any time via **MyView** (the School's online self-service portal for staff) and/or in conversation with their line manager or HR Partner.
- 7.4. Where an employee tells the School that they have a disability, the first step should be a supportive and collaborative conversation between the employee and their line manager to discuss adjustments (see **8. Reasonable adjustments**). Any personal information shared during the conversation (or subsequently) will be treated in confidence.
- 7.5. In rare instances, circumstances may require the School to lift confidentiality. Any lifting of confidentiality will be made on a strictly 'need to know' basis and the employee will be informed, except in cases where:
  - There is a legal obligation to lift confidentiality without discussion with the staff member, and/or
  - The health and safety of the staff member or others may be adversely affected by not doing so.

## 8. Reasonable adjustments

- 8.1. The School will consider and implement reasonable adjustments to facilitate inclusion, remove barriers and contribute towards a positive staff experience. Reasonable adjustments are evidence-based and are normally the product of constructive discussions between the employee and their line manager, in conjunction with independent supporting information (such as a consultant letter, medical report, Access to Work assessments etc.). Additional factors may also be taken into account, such as the employee's working (or home) environment, the services provided by the School, and principles of employment law to prevent substantial disadvantage.
- 8.2. What is 'reasonable' will depend on the situation. In particular, it needs to be considered whether a potential adjustment:
  - Will remove or reduce the disadvantage for the individual with the disability
  - Is practical to make
  - Is affordable (taking into account both funding available through the School and external sources, e.g. Access to Work)
  - Could harm the health and safety of others

While adjustments are often intended to support an individual in undertaking the core requirements of their role, they should not replace or discard those requirements. For example, while a disabled employee could be given more time to undertake a piece of work, it may not be considered reasonable to remove the need for that piece of work to be undertaken.

- 8.3. The line manager should be open, responsive and willing to trial different arrangements in order to address the staff member's needs efficiently. Adjustments may differ depending upon both the employee's individual circumstances as well as the nature of their role and staff group (for example, they may be different for academic and professional service staff). To assist the employee, line manager and HR Partner in exploring what adjustments are appropriate, the School has developed a Reasonable Adjustments Flowchart.
- 8.4. Where specialist advice is required, this should first be discussed with the employee before a referral is made to a specialist, with support from the HR Partner. Where there is a delay in specialist advice being provided (for example where a disability has only recently become apparent), the line manager should work with the employee to explore appropriate and reasonable options to support them until such advice has been received.
- 8.5. Where an employee has only recently acquired their disability or the employee and line manager are unsure what adjustments are needed, further discussions, as well as input from other areas – such as HR, Health and Safety, as well as external experts – may be necessary as the employee (and School) learns over time what adjustments they require.
- 8.6. Staff who have been living with disabilities for a long time are likely to have considerable knowledge about their condition as well as a clear idea of what their needs are. It may also be helpful for medical personnel or other specialists who are already treating or working with the disabled employee to input into the process.
- 8.7. Examples of reasonable adjustments include, but are not limited to:
  - Making reasonable adjustments during the recruitment process (such as providing extra time during an interview or assessment)
  - Making reasonable adjustments to the physical environment, e.g. widening a doorway or building a ramp
  - Exploring flexible working hours, either on a long-term or more temporary basis
  - Acquiring or modifying equipment, e.g. providing an adapted keyboard
  - Providing assistive software, as required for the role (such as speech-to-text software)
  - Where possible, providing information in alternative accessible formats (such as large print, audio or Braille)
  - In the case of academic and teaching staff, scheduling classes and/or rooms appropriately so that the needs of both students and the academic staff member can be met as far as reasonably possible
  - Supporting employees who become disabled, or whose disability leads to an absence from work, with a phased return (e.g. working flexible hours).
  - Allowing staff time off to attend medical appointments.
- 8.8. Reasonable adjustments are not set in stone and should be reviewed periodically (and as required by circumstances) by the line manager, in conjunction with the employee and other advice as appropriate (e.g. from HR) to ensure that they are necessary and sufficient. Reviews should be undertaken in a timely manner and at intervals agreed with the employee. Reviews should aim to identify the most appropriate support for the employee – taking into account both the initial assessment as well as any changes that have occurred in the intervening period – and they should be constructive, with the aim of minimising uncertainty and/or distress.
- 8.9. The School acknowledges that the nature of academia means that additional and/or different support may be appropriate for disabled individuals in academic roles. Such staff manage their own workload so that they have time both for activities that are scheduled at specific times (such as teaching duties, office hours or meetings with colleagues, LSE citizenship duties etc.) and research time which is essential both to their own professional development and the School. In seeking to balance these commitments, it is highly important that disabled staff are not unfairly disadvantaged, e.g. through absence, illness or another impact of their disability. As such, reasonable adjustments for academic staff with disabilities and/or chronic health conditions need to enable them to participate as fully as is practicable in all aspects of their roles as well as the wider life of the School. This might include support in adjusting an individual's workload to enable them to focus on all aspects of their academic role.
- 8.10. Further guidance on reasonable adjustments can be found in the Guidance for Managers on Reasonable Adjustments.

## **9. Technological support for disabled staff**

- 9.1. The School is committed to providing inclusive technology which enables all staff, including those with disabilities, to work, collaborate and interact effectively. As part of this commitment, the School invests in assistive technologies that make information (whether online or on paper) more accessible for individuals with disabilities.
- 9.2. Staff can request a consultation with DTS to discuss bespoke solutions for their individual needs. Solutions may include text-to-speech screen readers, voice recognition software, screen magnification software, and ergonomic keyboards and mice. Staff can contact [tech.support@lse.ac.uk](mailto:tech.support@lse.ac.uk) to book a consultation or if they have general accessibility queries.

## 10. Access to Work

- 10.1. Access to Work is a government fund run by the Department of Work and Pensions which provides support to disabled people to help them overcome work-related obstacles resulting from their disability. An Access to Work grant can pay for a person's practical support if they have a disability, health or mental health condition that makes it hard for them to do parts of their job or get to and from work. The money does not have to be paid back and will not affect any other benefits that the individual is receiving.
- 10.2. Where appropriate, the School may ask an employee to make an application to Access to Work to support funding where reasonable adjustments are extensive and/or ongoing.
- 10.3. More information about how the scheme works, including eligibility criteria, can be found on the [Access to Work webpages](#).

## 11. Disability and recruitment

- 11.1. The School aims to recruit, train, develop and retain talented staff, regardless of any protected characteristic, including disability. Applicants have an opportunity to share information about a disability on the 'equal opportunities' part of their application. This information is retained by HR and is not available to view by the recruitment panel.
- 11.2. The School is a member of the [Disability Confident](#) scheme, under which applicants who consider themselves to be disabled may request a guaranteed interview provided that they meet the essential criteria for the role in question. Progression through the membership scheme is a key part of the School's plans to enhance the support available to disabled individuals across the LSE community.
- 11.3. The School will endeavour to make all reasonable adjustments that are requested during a recruitment process to enable a disabled candidate to participate fully. If invited for interview, the applicant will be asked if they require any reasonable adjustments to attend.
- 11.4. Applicants are welcome to visit the campus to enable them to better identify their potential support needs; existing staff are also welcome to visit other departments if are considering applying (or have applied) for another role via an internal recruitment process.
- 11.5. Information on disability support will be made available to new starters at the School as part of their induction materials.

## 12. Disability and sickness absence

- 12.1. Staff can self-certify their absence as disability-related through [MyView](#). Absence which is related to a disability is (and must be) recorded and managed separately from other categories of sickness absence. Disability-related absence must be treated as unique to the individual and must be managed on a case by case basis, i.e. the way in which an individual's situation is managed does not in itself create a precedent for how the situations of others should be managed.
- 12.2. It is acknowledged that disability-related absence may be planned (for example, in the case of medical appointments) and unplanned (for example, where work pressures induce an aggravation of a disability). While any disability-related absence will still form (a separate) part of an employee's overall absence record, such absences are in themselves an opportunity for the line manager (with HR support as appropriate) to work with the employee to identify any further adjustments or support that could be put in place.
- 12.3. Staff with ongoing disabilities may require ongoing treatment and time off to attend medical appointments (which may include disability-related programmes, such as pain management). Employees should discuss their need to attend such medical appointments with their line manager as early as possible. Where possible, staff should try to make appointments at the beginning or end of their normal working day. Part-time staff and shift workers should try to schedule appointments for when they are not working. In line with the School's sickness absence procedures, such appointments are not recorded as sickness absence unless they require more than half a day away from work.
- 12.4. Medical appointments related to disability (or any other condition) will be accommodated wherever reasonably possible. Managers and employees are expected to be as flexible as possible in ensuring that relevant medical treatment is received, as well as agreeing how any work gaps may be addressed.
- 12.5. Where an employee's absence record (including any disability-related absences) is having a significant impact on their attendance and/or performance in their role and recommended reasonable adjustments have been explored, the Capability Health Policy and Procedure for Professional Services Staff (or equivalent procedure for other staff groups) may apply. Implementation of the latter procedure may happen alongside the addressing of any other concerns that have been raised (such as those relating to health and safety, or discrimination and bullying related to disability).

## 13. Ill health retirement

- 13.1. Where an employee's health has deteriorated to the extent that they can no longer perform their duties, and all reasonable efforts to redesign their role or secure redeployment have been unsuccessful, retirement on the grounds of ill health will be considered if the employee is a member of one of the School's pension



schemes. An application for ill health retirement will be referred to the HR Pensions team. All applications will need to be supported by appropriate medical reports, which individuals will be required to obtain and authorise for release to the pension scheme Trustee. In these circumstances, the School will support the employee as far as possible with their application, although it is ultimately the decision of the pension scheme Trustee whether to approve individual applications. In the event that an application is rejected, the process will revert to the relevant capability health procedure.

#### 14. Training and development

- 14.1. The School endeavours to provide the appropriate training and development to all staff to enable them to undertake their roles effectively and to progress both their personal and professional development. As part of this commitment, the School will aim to ensure that all managers are better trained in how to address and manage disability issues in their teams, through additions to the core training programme offered to staff as well as tailored sessions for line managers.
- 14.2. All staff attending a training programme or course are asked if they have any access requirements or other reasonable adjustments that need to be accommodated. Where in-person training is arranged, this is normally held in accessible venues with consideration of the needs of disabled staff, including larger print handouts for those with visual impairments, or printed on different coloured paper to assist those with scotopic sensitivity.
- 14.3. In addition to specific discussions about reasonable adjustments, conversations about wellbeing in general (and disability in particular where relevant) should be part of one-to-one meetings and catch-ups between employees and managers. For professional services staff, wellbeing discussions have been incorporated into the available guidance on the [Career Development Review \(CDR\)](#) process, including the setting of wellbeing-specific objectives. Similar expectations apply to manager-employee discussions among academic, research and teaching staff.

#### 15. Safe access requirements on campus

- 15.1. The School aims to continually improve the accessibility of its campus and facilities for the benefit of all who work, study or visit. This includes:
  - Providing suitable access to School buildings via lifts and ramps.
  - Reviewing and improving existing facilities, e.g. installing automatic doors that provide hands-free entry or maintaining accessible toilets.
  - Designing, publishing and reviewing fire evacuation procedures for each School building.
- 15.2. Where requested by an employee and/or advised by medical advice, a Personal Emergency Evacuation Plan (PEEP) may be completed by a Fire Safety Advisor, with the employee's cooperation. PEEPs set out the specific arrangements to support anyone who, due to the nature of a physical or other condition, cannot safely evacuate from a building, acknowledge or respond to a fire signal without being assisted. In addition to visible physical disabilities, this may also include cognitive or psychological conditions (such as epilepsy or autism) that may impact upon a person's ability to evacuate the building in an emergency. More details about PEEPs, as well as other provisions supporting safe evacuation procedures, can be found in the [Policy for Safe Evacuation of Persons with Disabilities](#).
- 15.3. A number of accessible parking bays are available near LSE's main (Houghton Street) campus. This parking is provided under the ['Blue Badge' scheme](#) which provides special parking rights for vehicles carrying drivers or passengers with disabilities. There are also additional 'Blue Badge' parking bays on Portugal Street and Sardinia Street.  
  
Further information on accessible parking and other transport options can be found on the [LSE website](#). External advice on transport support services for disabled people is available on the [UK government's webpages](#).

#### 16. Raising a concern

- 16.1. Where staff feel that they have not been treated in line with the principles within this policy, they have a number of options available to them for raising their concerns, whether these relate to local or central support.
- 16.2. Staff are encouraged to raise concerns with their line manager or HR Partner in the first instance. If this does not result in a satisfactory response, or they do not feel comfortable in doing so, they should approach the School's Disability and Mental Health Adviser.
- 16.3. The School is also able to support staff in resolving concerns through mediation; staff can find out more about this from their HR Partner.

#### 17. Discrimination, harassment, bullying and victimisation

- 17.1. The School is committed to a working and learning environment where people can achieve their full potential free from any form of discrimination, harassment or bullying. Discrimination and harassment are not limited to people with a disability but may also apply to those associated with a disability, e.g. associative discrimination in the case of a carer for a disabled child.



- 17.2. Harassment may take the form of verbal abuse or other actions that make an individual feel uncomfortable, intimidated or degraded. Discrimination is defined as when someone is treated less favourably or put at a disadvantage because of one or more of their protected characteristics. Discrimination may be direct or indirect. In addition, another category of discrimination is discrimination arising out of a disability, which occurs when a disabled individual is treated unfavourably because of something connected with their disability and there is no justification for this treatment; there is no need for comparison with another individual for this type of discrimination.
- 17.3. Misconduct which is unintentionally detrimental towards disabled individuals may, where appropriate, be addressed and resolved informally. Where behaviour is more serious, intentional and/or deliberate, formal procedures are applicable (e.g. disciplinary procedure where an allegation is made against another employee).
- 17.4. Appendix 2 of the School's **Discrimination, Harassment and Bullying Policy** provides a list of internal and external contacts that staff can contact if they feel that they have been subject to discriminatory treatment on the basis of disability. This includes the **Safe Contacts network**, the **Report It Stop It** online form, and/or their **HR Partner**.

### 18. Monitoring and reporting

- 18.1. The School is legally required under the Equality Act 2010 to monitor and report annually its disability disclosure figures for staff and students. These figures are collected via individual staff records (both during recruitment and for current staff), student admission data and student records. Statistics on staff are also reported in the annual University Equality Monitoring Report as well as HESA student returns.
- 18.2. The School will continue to collect and monitor these statistics, as well as taking steps to encourage employees to feel comfortable sharing their data as part of its commitment to an inclusive working environment. Early sharing of information about a disability is encouraged so that reasonable adjustments can be put in place as early as possible.
- 18.3. All reporting on disability data will be anonymous in nature and no individuals will be identified. Information on staff who share information about a disability will be kept confidentially on the appropriate data system, in line with the School's **Data Protection Policy** and UK GDPR obligations.

### 19. Further resources

- 19.1. The School's **Disability and Wellbeing Staff Network (DAWN)** aims to make the School more disability confident and raise awareness about disability on campus. Staff are encouraged to contact [edi@lse.ac.uk](mailto:edi@lse.ac.uk) if they have any questions or wish to be part of the network.
- 19.2. The School's Disability and Wellbeing Steering Group is chaired by the Pro-Director (Education) and meets periodically to discuss disability-related matters that affect staff and students.
- 19.3. More information on assistive technologies can be found on the **Assistive Tech webpage**.
- 19.4. Further information on workstation risk assessments that inform more general support options for staff is available on the **Health and Safety webpages**.
- 19.5. The trade unions recognised by the School can provide advice in individual cases and general support, as well as being a means for wider concerns about the employment experience of disabled staff to be raised. In addition, in line with UK law<sup>2</sup>, union-appointed safety representatives make an important and practical contribution to the health and safety of staff.
- 19.6. General wellbeing support for staff can be accessed through:
  - **Staff wellbeing webpages**
  - **Employee Assistance Programme (EAP)** which provides confidential telephone counselling and more as a 24/7 service
  - **Staff Counselling Services**
- 19.7. The School is a member of the **Business Disability Forum**, a not-for-profit membership organisation which provides (among other resources) networking opportunities, access to disability guidance and an **Advice Service**.

### 20. Review

- 20.1. This policy and its accompanying EIA will be reviewed in one year's time and then in line with HR's policy review schedule, as well as benchmarking exercises and any legislative changes.

**Review schedule:**

Review interval	Next review due by	Next review start
Annual	November 2022	August 2022

**Version history:**

Version	Date	Approved by	Notes
2	September 2021	HRMB	
	November 2021	JNICC	

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**Communications and Training:**

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

Training will be carried out as part of the 'LSE Manager: Bringing Policy to Life' sessions.

## POLICY ON SMOKING

### 1. Introduction

- 1.1. The London School of Economics has duties under the Health and Safety at Work etc. Act 1974 to provide a safe working environment for its staff and for those who come into its buildings. It also has duties under the Regulatory Reform (Fire Safety) Order to manage the risk of fire. The policy on smoking addresses the risk to health from smoking (including passive smoking), and the risk to safety from fire associated with all types of smoking, including electronic and herbal cigarettes.

### 2. Aims of the Policy

- 2.1. The aims of the policy are to:
  - 2.1.1. protect staff, students, contractors and visitors from the harmful effects of tobacco smoke;
  - 2.1.2. protect staff, students, visitors and buildings from the risk of fire;
  - 2.1.3. ensure the LSE complies with Smokefree and other relevant legislation;
  - 2.1.4. guide staff and students to sources of support if they want to stop smoking.

### 3. Application of the Policy

- 3.1. This policy applies to all staff, students, contractors and visitors to LSE buildings.
- 3.2. The policy covers all types of smoked products including tobacco and herbal cigarettes, electronic cigarettes, and other devices or substances which may be used for the purpose of smoking.

### 4. Policy

- 4.1. Smoking is prohibited:
  - 4.1.1. within all LSE buildings;
  - 4.1.2. at entrances, external staircases and roofs of LSE buildings;
  - 4.1.3. on all terraces other than Old Building and St Clements.
  - 4.1.4. below open windows and air intakes.
- 4.2. Electronic nicotine delivery systems devices (e-cigarettes, e-pipes and similar) may only be charged using branded chargers appropriate for the device. Charging units must be disconnected when not in use.

### 5. Responsibilities

- 5.1. Smokers are responsible for complying with the law and the School's policy on smoking. They must also agree arrangements for taking smoking breaks with their line managers.
- 5.2. Anyone who observes someone smoking in LSE buildings should ask them to stop smoking. If the person smoking is a member of staff, it should be reported to the appropriate manager, if known. If you feel unable to speak to the person, contact Security.
- 5.3. Line managers are responsible for taking action if a member of their staff is found to be smoking in any of LSE's buildings. They should seek guidance from the Human Resources Division on the appropriate disciplinary steps they should take.
- 5.4. The appropriate Undergraduate, Postgraduate and General Course Deans are responsible for disciplinary action against any students found to be smoking in LSE buildings other than Halls of Residence.
- 5.5. Wardens are responsible for disciplinary action against any students found to be smoking in an LSE Hall of Residence.
- 5.6. Estates Division are responsible for providing appropriate no smoking signage at all entrances, and for the provision and emptying of ash cans.
- 5.7. Human Resources Division is responsible for informing staff of the smoking ban in the Terms and Conditions of Service.
- 5.8. The Academic Registrar's Division is responsible for informing students of the smoking ban in the information sent to new students and on their website.
- 5.9. All staff and students must cooperate with Local Authority Enforcement Officers investigating reports of smoking in LSE buildings.

**6. Smoking Cessation**

- 6.1. GPs and pharmacists can advise on stopping smoking.
- 6.2. More information can be found on the [NHS Stop Smoking website](#) or the NHS Smokefree National Helpline: 0300 123 1044.
- 6.3. Staff can seek support from the LSE Staff Counselling Service.
- 6.4. Students can seek support from the LSE Student Counselling Service.

**Review schedule:**

Review interval	Next review due by	Next review start
5 years	July 2025	Jan 2025

**Version history:**

Version	Date	Approved by	Notes
1.0	13 May 2015	Executive Health and Safety Group	Originally approved by Council
1.1	29 July 2022	Chair of the Safety Management Board	Removal of St Clements roof from list of terraces where smoking is permitted.

**Contacts:**

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**Communications and Training:**

Will this document be publicised through Internal Communications?	<b>Yes</b>
Will training needs arise from this policy	<b>No</b>
If Yes, please give details:	

# LSE SAFEGUARDING POLICY

## 1. Introduction

- 1.1. The School is committed to ensuring the safety of everyone involved in School activities. This includes the duty of care to safeguard children, young people and adults at risk during interactions relating to School activities, irrespective of duration or location.
- 1.2. This policy applies to all staff, students and volunteers (irrespective of whether they act in a paid or unpaid capacity), who may be working with children, young people or vulnerable adults through the School's teaching, research activities and other initiatives or outreach programmes. Children, young people and vulnerable adults will be referred to within this policy as 'vulnerable groups'.
- 1.3. Whilst this policy sets out the School's general responsibilities in ensuring the protection of vulnerable groups, it will also be necessary for appropriate local provisions to be made in a number of areas of the School, depending on the nature of their activities. As such, those expecting to work with vulnerable groups (regularly or occasionally) should always refer to any more detailed local guidance, and/or the relevant safeguarding officer or service leader, alongside this policy.
- 1.4. It is assumed generally that all individuals will conduct themselves in a professional manner with integrity, upholding the reputation of the School at all times, in line with the School's Ethics Code.

## 2. Policy aims

- 2.1. This policy aims to provide clarity on the School's legal obligations relating to vulnerable groups and identifies the key responsibilities relating to safeguarding for all individuals associated with the School.
- 2.2. This policy does not seek to discourage activity that contributes positively to the School's interest and/or has community value; instead, it seeks to ensure an environment free from harm and offer ongoing assurance to staff, students, volunteers and visitors that their experience at the School will be a positive one. Ultimately, it aims to facilitate the management of the risk associated with the duty to protect vulnerable groups.
- 2.3. Vulnerable groups are as follows: A 'child' is defined as a person under 18 years of age<sup>1</sup>: where the context specifically relates to older children, the term 'young person' is used. A 'vulnerable adult' is broadly defined as someone aged 18 or over who may be in need of community care services by reason of mental or other disability, age or illness; and who is or may be unable to take care of themselves, or unable to protect themselves against significant harm or exploitation either temporarily or permanently<sup>2</sup>.
- 2.4. At times it may not always be explicitly obvious that a person or group (regardless of age) may be considered vulnerable. Although the list below is not exhaustive, a person is likely to be considered vulnerable if they:

- have a learning or physical disability; or
- have a physical or mental illness, chronic or otherwise, including an addiction to alcohol or drugs; or
- have a reduction in physical or mental capacity.

The following examples are indicators that may suggest a person is to be considered vulnerable, because either temporarily or permanently they are:

- being detained in custody; or
- receiving community services because of age, health or disability; or
- living in sheltered or residential care home; or
- being unable for any other reason to protect themselves against significant harm or exploitation.

## 3. Policy responsibilities

- 3.1. SMC have designated lead responsibility for safeguarding at the School to the Chief Operating Officer, who is tasked with ensuring that the importance of safeguarding vulnerable groups within the School is understood. The Academic Registrar (for students) and the Director of Human Resources (for staff) deputise for the Chief Operating Officer in their absence.
- 3.2. However, the responsibility for formal procedural arrangements continues to reside locally with assurance that advice can be sought at any time from the designated lead or their nominated contact.
- 3.3. All areas of the School with regular or occasional contact with vulnerable groups are obligated to ensure that appropriate arrangements are in place to operationalise this policy, and that these are regularly reviewed and updated to ensure the content of this policy is continually reflected upon, delivered and maintained. These areas of the School must ensure that all staff in their area are made aware of this policy, and that they receive appropriate training.
- 3.4. Specific responsibilities apply to certain key members of staff.
  - 3.4.1. Heads of Department, Service Leaders, Centre and Institute Directors are responsible for:
    - Ensuring that appropriate local safeguarding provisions are made for their areas of work, including

(where necessary) more detailed local guidance to supplement this policy.

3.4.2. Recruiting/line managers are responsible for:

- Ensuring that they follow the relevant recruitment and selection policy and procedure, including clarifying **where a role requires a DBS check** and liaising with HR to ensure that appropriate checks are in place.
- Informing Human Resources where job roles change to include contact with vulnerable groups and to discuss new requirements for appropriate record checks.

3.4.3. Human Resources (HR) are responsible for:

- Liaising with managers to ensure that DBS checks are carried out as required for certain roles, and for ensuring that a central record is kept of all such completed checks.

#### 4. Working with vulnerable groups

4.1. Examples of areas around the School with roles that this policy may relate to include (this is not an exhaustive list):

- Residences, including Wardens and Subwardens in halls of residence
- Widening participation
- Those working with disabled students and staff
- Those working with students and staff with mental health issues
- Counselling
- Those responsible for organising and supporting visits to the campus, for open days, and taster days
- Student ambassadors
- Mentors
- Academic Advisers
- Any staff who work with vulnerable groups, either via academic research, or through public engagement
- Professional Services Staff (in particular departments)

4.2. Some of the roles within the areas of the School listed above may or may not require Disclosure and Barring Service (DBS) checks; if in doubt individuals should check with their Human Resources Partner for clarification.

4.3. LSE is committed to safeguarding and promoting the welfare of vulnerable groups, in response to specific legislation, and as part of our common law duty of care. This includes taking all reasonable measures to:

- Ensure that the School's environment is safe, secure and inclusive of those from vulnerable groups.
- Ensure that staff, students and governors are familiar with the School's Ethics Code which sets out guidelines for the whole LSE community regarding expected behaviour.
- Ensure that recruitment processes (outlined below) are followed, in order to ensure that all job roles with known, direct contact with vulnerable groups have had the appropriate background checks conducted.
- Ensure that anyone suffering from or who has suffered significant harm is identified and responded to appropriately and quickly.
- Ensure that all concerns are taken seriously, and responded to appropriately and quickly. All groups should be respected and have their views heard and considered irrespective of age or other presentation.
- Work co-operatively with School divisions and other agencies that provide safeguarding services for vulnerable groups, and in partnership with parents and guardians where appropriate.

4.4. In order to safeguard oneself from raising the concerns of others about your behaviour towards vulnerable groups, it is good practice to be vigilant that interactions are open and transparent at all times. To this end, staff should:

- In accordance with the Ethics Code, treat all people with dignity and respect, and promote within the School an inclusive and participatory working and social environment in which we encourage, support and behave appropriately to one another.
- Be mindful of interaction which could be considered as favouritism, either directly or indirectly;
- Avoid putting themselves in a position where they might find themselves alone with a vulnerable individual unnecessarily.
- Refrain from using personal contact details such as mobile numbers and email addresses, or engaging in non-work related contact via social networking sites (e.g. Facebook, Instagram, Twitter, Snapchat etc.) Relationships should be kept on a professional, not personal basis. It should not be necessary to contact vulnerable groups outside of School business;
- Exercise care in their use of language, and in their behaviour, and avoid comments or actions which could be interpreted as having a sexual connotation, even in jest;
- Report any concerns, suspicions or allegations regarding the welfare of a child, young person immediately or vulnerable adult to the appropriate officer (see 8 below).

- 4.5 In addition to those stipulated above, researchers also have a responsibility to consider issues relating to the safeguarding of participants in research projects. This may include staff and students as well as anyone directly affected by research activities either on campus or overseas, e.g. interviewees. As such, all staff and students with a responsibility for carrying out research activities must consider during the planning stages of a research project if there are any safeguarding issues that may arise and identify strategies to minimise or deal with them. In addition, where an issue of safeguarding has arisen during the course of research or is suspected by the researcher, researchers should ensure they have a clear understanding of the steps to be taken and the person or persons to be informed in order to prevent further harm or potential harm from occurring. Please refer to the Safeguarding in Research Contexts document for further information.

## 5. Recruitment processes

- 5.1. The School's recruitment processes ensure that all job roles with known, direct contact with vulnerable groups have had the appropriate background checks conducted. The School will take all appropriate steps to ensure that unsuitable people are prevented from working with vulnerable groups. Separate procedures exist for the purposes of undertaking DBS checks and should be read in conjunction with the Recruitment and Selection Policy.
- 5.2. Job roles that require a DBS check will be listed on a single, central record maintained by Human Resources. At the outset of any new recruitment process, the recruiting manager and HR Adviser can use an [online tool](#) to decide and agree what level of check (if any) is required. Processes relating to this are reviewed periodically to ensure compliance. In addition, the School will carry out further DBS checks for individuals in relevant roles on an ongoing basis; these additional checks will normally take place every three years, as appropriate to the status of the contract of employment and the nature of the work being undertaken.
- 5.3. Copies of completed DBS checks are not retained on employee files; instead, the employee will be required to bring their original certificate to HR so that the key information can be recorded and any actions taken as appropriate. Further details may be found in LSE's DBS Policy Statement.

## 6. Safeguarding arrangements with third party providers

- 6.1. Where LSE has agreements in place with third party providers that may involve working with vulnerable groups or individuals, such as in the provision of childcare services as a benefit offered by LSE, those agreements will include a shared understanding among all parties of the required safeguarding arrangements (such as DBS checks).
- 6.2. Such understanding applies under this policy to agreements explicitly made between LSE and the third party. Individuals who arrange childcare or another service related to a vulnerable group or individual with a provider outside such agreements are responsible for checking themselves the safeguarding arrangements that are in place.

## 7. Safeguarding responsibilities under the Prevent duty

- 7.1. LSE is obligated to engage with the Government's Prevent strategy and provide appropriate training and guidance for members of staff whose role involves safeguarding students.
- 7.2. Any behaviour which suggests that an individual might be at risk of being drawn into terrorism must be reported in the Prevent duty flowchart (see link in the 'Links' section), so that the matter can be investigated and any appropriate support can be put in place.
- 7.3. As with other types of safeguarding, the threshold for reporting to our designated officer for consideration through our documented processes is low, because Prevent is concerned with early intervention to safeguard and divert people away from the risk they face.

## 8. Raising Concerns

- 8.1. From a moral and social viewpoint, safeguarding is everyone's responsibility at all times. All staff have a responsibility to raise any concerns they may have for the safety and wellbeing of vulnerable groups or individuals who are in contact with the School. These could arise in a variety of ways in a range of situations.
- 8.2. It is not always easy to recognise a situation that compromises a vulnerable group's safety; however, each person has a responsibility to act if they have any concerns about a child, young person or vulnerable adult, and such concerns are to be taken in good faith. Those concerns may also relate to issues of vulnerability that arise outside the School or the School's activities.
- 8.3. The person aware of these suspicions or allegations must contact the relevant safeguarding officer, and follow local procedural arrangements (see the 'Links' section below for details). Matters outside the scope of these procedures should be referred to the School's designated lead or their nominated contact immediately for guidance on what action must be taken. All discussions will be treated with discretion at all times.
- 8.4. The School's designated safeguarding lead has overall responsibility for investigating allegations and other disclosure information, in conjunction with relevant external agencies. However, the responsibility for formal procedural arrangements continues to reside locally, with assurance that advice can be sought at any time from the designated lead or their nominated contact.



- 8.5. The School's **Whistleblowing Policy** provides a procedure by which an individual who is contractually connected to the School (including staff, visiting staff, consultants and members of Council and Court) can disclose information in the public interest which is related to suspected serious wrongdoing or dangers related to the running of the School or to the work-related activities of staff.

### Footnotes

- <sup>1</sup> Children Act 1989  
<sup>2</sup> Safeguarding Vulnerable Groups Act 2006

### Review schedule:

Review interval	Next review due by	Next review start
3 year	Oct 2020	July 2020
3 year	Oct 2023	July 2023

### Version history:

Version	Date	Approved by	Notes
1.0	17 Oct 2017	Council	
2.0	18 Nov 2021	JNICC	

### Links:

#### Reference

LSE - Disclosure and Barring Service (DBS)  
 Process Guidance Note:  
 Whistleblowing Policy:

#### Link

<https://info.lse.ac.uk/staff/divisions/Human-Resources/Assets/Internal/staff/Recruitment/DBS%20guidance.pdf>  
<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/LsePubIntDisPro.pdf>

Current students

- Cause for Concern: guidance to working with students in difficulty: <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/cauForConCFC.pdf>, with a particular focus on mental health concerns, Prevent and forced marriage
- LSE staff guide on handling cases of student sexual violence, harassment and abuse: <https://info.lse.ac.uk/staff/divisions/equity-diversity-and-inclusion/Assets/Documents/PDFs/Internal/LSE-staff-guide-to-handling-cases-of-student-sexual-violence-harassment-and-abuse.pdf>
- LSE Accommodation policy: regarding students who are under 18, disabled students, pregnant students, and trans students: <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/accPol.pdf>
- Student counselling service: <https://info.lse.ac.uk/current-students/student-wellbeing/student-counselling>
- Fitness to Study (FtS) policy: <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/fitStuPol.pdf>

Staff members

- Disciplinary and Dismissals Policy and Procedure: <https://info.lse.ac.uk/staff/divisions/Human-Resources/Assets/Internal/staff/Policy/PSSDisAndDismissal.pdf>
- Grievance Policy and Procedure: <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/griPolProAcaSupSta.pdf>
- Recruitment and Selection Policy (Professional Services Salaried Staff): <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/proStaRecSelPol.pdf>
- Staff counselling service: <https://info.lse.ac.uk/staff/services/staff-counselling>

Widening participation

- WP team guidance and procedures: <https://www.lse.ac.uk/study-at-lse/Undergraduate/widening-participation/Assets/PDF/LSE-Core-WP-Team-Safeguarding-Guidance-and-Procedures.pdf>
- WP team staff code of conduct, activity guidance and reporting procedure: <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safProWidPar.pdf>

Prevent duty

- Policy: <https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Prevent>
- Flowchart: <https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Prevent/2016-06-28-Prevent-duty-flowchart-for-individual-cases.pdf>

Discrimination, harassment and bullying policy

- Policy: <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/harPol.pdf>
- Online reporting: <https://info.lse.ac.uk/making-a-choice/report-an-incident>

### Contacts:

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### Communications and Training:

Will this document be publicised through Internal Communications? **Yes**

Will training needs arise from this policy **Yes**

If Yes, please give details:

# POLICY AND PROCEDURE ON PERSONAL RELATIONSHIPS

## Introduction

Positive professional relationships between staff, and between staff and students, which facilitate learning, research and the exchange of ideas, are recognised as integral to the success of the School. However, due to the power relationships that can exist between staff, and between staff and students, personal relationships which go beyond a professional working relationship can result in a conflict of interest, impacting on constructive and transparent working relations or resulting in adverse effects on the student experience. More seriously, these can result in abuse of power or the potential for, or perception of, abuse of power.

The School's Ethics Code includes Integrity and Equality of Respect and Opportunity as two of the Code's six key principles. These detail the School's commitment to declaring interests and appropriately managing possible conflicts as well as treating all people with dignity and respect, being transparent and consistent with our decision making and ensuring that no person is treated less favourably as a result of any of the protected characteristics under the Equality Act 2010.

All academic, research, teaching and professional services staff are in a position of trust. It is important that they demonstrate professional behaviour and act in accordance with the Ethics Code. Due attention should be given to individual actions and conduct to ensure that this is appropriate to the activities being undertaken.

The Sexual Harassment and Sexual Violence Policy sets out the School's commitment to provide a safe environment free from sexual harassment and violence. This includes behaviour which extends beyond the physical premises and normal business hours of the School, such as conduct at events and trips abroad or on social media. Sexual harassment also occurs if an individual treats a person less favourably because that person has rejected or submitted to unwanted conduct of a sexual nature.

## Policy Aims

The purpose of this policy and procedure is to set out the expectations and responsibilities of staff, students and the remainder of the LSE community specifically in respect of personal relationships between staff, and between staff and students, but also in respect of any personal relationship that includes a power imbalance. This is in order to prevent abuses of power, protect staff and students from allegations of conflicts of interest and promote a safe and positive environment.

The policy sets out what constitutes a conflict of interest and the steps that must be taken where these exist to ensure that they are managed in an appropriate and timely manner to avoid any real or perceived conflicts of interest, or misuse of power and authority. It explains the steps that must be taken by members of the LSE community to ensure that any personal relationships at work are handled with integrity so that they do not impact on the working lives of staff or the student experience and/or give rise to unintended consequences. Where disclosures regarding personal relationships are made, these will be handled sensitively and confidentially.

## Scope of Policy

This policy applies principally to all staff and students at LSE but can, under certain circumstances, also apply to other members of the LSE community (see section on 'Definitions').

It also applies to:

- job applicants in so far as they are requested to declare any personal relationships with existing staff in their application form;
- individuals applying to become students in so far as the staff member has influence over whether the student is admitted.

The policy and associated principles apply equally to all relationships at work regardless of sexual orientation and identity.

## Existing Relationships

Relationships that exist at the time of the publication of this policy must be declared within three months of this policy coming into effect in accordance with the section below: 'Declaring Personal Relationships'.

There may be existing, consensual personal relationships that are declared within three months of the launch, which are now prohibited under this procedure. In such cases, new practical arrangements will be found with advice from HR that fully resolve any potential conflicts of interest to the mutual agreement of both parties.

## Definitions

**Personal relationships:** a relationship which transgresses professional boundaries and may lead to real or perceived conflicts of interest, or misuse of power and authority at work. Examples of personal relationships include:

- a family relationship
- a business/commercial/financial relationship
- a romantic/intimate/sexual relationship (including a brief or one-off occurrence)
- a close personal/social friendship, which exists outside of the workplace.

However personal relationships are not restricted to these examples and anyone who is in a situation which could lead to a potential conflict of interest, as set out in this policy, must declare it as outlined below.

**Staff member:** any individual who is employed by LSE, or engaged to carry out work for LSE, including PhD students, visiting staff, guest and emeritus teachers, and hourly-paid staff. This may include students who are also employed on teaching or research contracts, when they are acting in those capacities.

**Student:** all undergraduate and postgraduate students, full-time and part-time students, including those enrolled in University of London, Summer School or executive programmes and those carrying out distance learning.

LSE community includes but is not limited to all students, salaried and non-salaried members of staff (including visiting staff), alumni, contractors and members of Council as well as other individuals who are authorised to be on School premises for the purposes of work or study.

A **conflict of interest** may arise where an individual might be seen to be influencing School matters for actual, potential or perceived personal benefit. Such a conflict may arise in a situation when an employee, governor or registered student is in a position to influence, directly or indirectly, School business, research or other decisions in ways that could lead to gain for them, their family or others. No one should be involved in making decisions in relation to their commitments to the School from which they, or anyone with whom they have a close financial or personal relationship, stand to personally benefit. Such considerations apply to a wide range of activities in which conflicts may arise, including, but not restricted to, student admissions, student assessment, disciplinary proceedings, appeals, staff recruitment, staff promotion and remuneration, procurement and assessing proposed relationships between the School and outside parties<sup>1</sup>.

A **historical relationship** is one that has ended. Historical consensual relationships that ended two or more years before the launch of this policy (1 September 2021) do not need to be declared. Consensual relationships that ended within two years of this policy's launch must be declared but will not normally be investigated unless there are reasonable concerns that the past relationship continues to impact on current working relations and/or the student experience. These will be subject to the policy in place at the time of the relationship.

**Positional power:** this is the authority held by virtue of one's position in the organisation's structure and hierarchy.

**Consent:** permission for something to happen or agreement to do something with a full understanding of the facts and without coercion. Consent is not consent if it is given under pressure, (perceived or real) threat, or given when someone is not really capable of giving it – e.g. if they are intoxicated, asleep and/or not capable of giving consent. Consent can be withdrawn at any time.

**Exploited consent:** consent that is secured only due to the occupancy of respective positions within an unequal relationship e.g. teacher and student. Exploited consent includes experiencing pressure (perceived or real) to give consent in order to improve marks, improve promotion, or where a person believes they would not receive due professional attention.

## Policy Principles

LSE staff must conduct themselves professionally and appropriately in their dealings with colleagues and students, in line with the School's Ethics Code<sup>2</sup> and the School's Safeguarding Policy<sup>3</sup>.

The same guidelines and rules for appropriate conduct apply when staff and students are participating in fieldwork, conferences and other work-related activities away from the normal workplace, including when staff are on sabbatical leave.

Personal, financial, family, romantic or sexual relationships between students and staff, and between staff members (even if they are of similar age), where there is a significant difference in real or perceived power, present special problems because these relationships are vulnerable to exploitation.

The School's Discrimination, Harassment and Bullying Policy and Sexual Harassment and Sexual Violence Policy set out actions or behaviour which constitute harassment based on protected characteristics including gender, gender reassignment, sexual orientation, age and race. Improper behaviour, where a member of staff uses their power to exploit students/staff, will be treated as gross misconduct and dealt with through the relevant disciplinary procedure.

Staff in positions of influence should ensure that their behaviour does not put students or staff in an uncomfortable or difficult position, for example, by suggesting one-to-one meetings offsite in informal settings, such as restaurants, pubs or homes. Professional activity should be carried out at all times either in appropriate spaces (offices, meeting rooms, cafés) on campus or using online communication tools. Due consideration should be given to the power imbalance that exists and care should be taken to ensure that contact and behaviour are professional, appropriate and non-intimidating.

LSE acknowledges that cases of exploited consent can occur in situations where consent is believed to have been freely given by both parties, but would not have been given if one party did not occupy a particular position of power. All personal relationships declared will be investigated and LSE will consider issues relating to any power imbalance that exists, such as the relative dependence and vulnerability of the student/staff member, and the esteem, respect and admiration which the student/staff member holds for the more senior staff member. The more these features are made apparent, the more the securing of consent to sexual or other intimacy may be seen as exploitative.

With the above in mind, the following three fundamental policy principles apply:

1. LSE prohibits any personal relationships between staff and students where i) there is a direct supervisory relationship in existence (e.g. PhD student and supervisor); ii) a member of staff has direct or indirect responsibility for, or involvement in, that student's academic studies (for example, assessor of a student's work) and/or personal welfare (for example, academic advisor and advisee) or iii) a member of staff interacts with a student as part of their role (including the period during which a prospective student is applying for admission, and any period of time after the completion of a degree during which the staff member maintains a direct or indirect professional role, such as mentoring or writing references for a former student).

Such relationships should be reported immediately in accordance with the procedure set out below so that appropriate safeguards are put in place, including changing the supervisory relationship or the relationship of direct responsibility for, or involvement in, the student's academic studies and/or personal welfare.

2. Where a personal relationship exists between a member of staff and student and where there is no professional relationship in existence, this must be reported in accordance with the procedure set out below to ensure transparency and so that any conflict of interest that arises from such a relationship can be resolved by putting new arrangements in place.
3. In order to mitigate possible conflicts of interest, LSE prohibits staff members who are in a personal relationship from being in a supervisory role (for example, principal investigator and research staff on the grant) or in any other role of influence over their professional career (for example, line manager and staff who are line managed by them). In such cases, personal relationships between staff must be declared so that new arrangements can be found that fully resolve the conflict of interest. This policy does not ban social interactions between senior and junior colleagues; at the same time, this policy and the attached procedure applies to those situations where a level of social interaction and/or the extent of a personal relationship could give rise to conflict of interest concerns.

LSE encourages the reporting of any concerns of wrongdoing and commits to ensuring that individuals are not adversely affected as a result of reporting such wrongdoing<sup>4</sup>. Students and staff can also report sexual (and other) harassment anonymously via the LSE online reporting tool<sup>5</sup>. The report should detail the concerning behaviour and staff member(s) and/or student(s) involved. Historical relationships that are brought to the School's attention by a member of the LSE Community, including alumni, which have resulted in a detrimental impact on a member of staff or student, will be taken seriously and investigated as far as reasonably possible.

Where there is an immediate or serious concern, other, more direct, reporting methods should be used, for example speaking to the Chief Operating Officer, who is the School's designated Lead Safeguarding Officer, or the Deputy Chief Operating Officer in their absence.

If any student or member of staff finds themselves in receipt of unwanted or inappropriate behaviour, is involved in a relationship that they do not consider to be truly consensual, or if they consider that they have been adversely affected by a misuse of power, authority, or conflict of interest, they should refer to the Sexual Harassment and Sexual Violence Policy and the [guidance and support](#) available on how to report this. Any complaint made by a student and/or member of staff will be investigated in accordance with the relevant staff or student procedure (see Related Policies and Guidance Documents section below).

Staff or students involved in a personal relationship that is permitted within this policy should not be unfairly treated or suffer detriment. Where steps are being taken to deal with two individuals who are involved in a personal relationship, both parties will be treated fairly and consistently unless there are specific grounds to justify differing treatment, such as misconduct by one of the parties or power imbalance.

## Legislation

The **Human Rights Act 1998 (Article 8)** provides for the right to a private and family life. This policy and procedure has been written to ensure that it balances an individual's right to a private life while ensuring respect for LSE values of integrity and trust.

The **Equality Act 2010** obliges employers not to treat a woman less favourably than a man (or vice versa) because of gender. It also gives workers the right not to be treated unfavourably because of their sexual orientation or gender identity.

It is a criminal offence under the **Sexual Offences Act 2003** for a person in a position of trust to engage in sexual activity with a person under the age of 18, even where the person is of the legal age of consent.

## **LSE Procedure on Personal Relationships**

### **Personal relationships between staff and students**

An inclusive student experience is at the heart of LSE's educational offering to students and the varied roles that all academic staff play in educating, supporting, coaching and mentoring students is crucial to this being a positive experience. In accordance with the Ethics Code, it is essential that staff act with integrity in all dealings with students to ensure that they can flourish both whilst they are at LSE and in their future career.

As such, LSE believes that staff entering into a personal relationship with students is inconsistent with the important role they play and undermines the student's educational experience. This can ultimately cause the student damage or harm, as well as potentially leading to claims being made against the member of staff with regards to misconduct, sexual harassment or discrimination.

The following sets out the measures that are in place to ensure that both students and staff are protected in this context.

Members of staff must not be in, or enter into, a close personal or intimate relationship with a student or staff member under the age of 18, or an adult known or suspected to be at risk. It is a criminal offence for staff who are responsible for students to enter into a sexual relationship with any student below the age of 18 where the adult is in a position of trust.

As stated in the LSE Policy on Personal Relationships: LSE prohibits any personal relationships between staff and students where i) there is a direct supervisory relationship in existence (e.g. PhD student and supervisor); ii) where a member of staff has direct or indirect responsibility for, or involvement in, that student's academic studies (for example, assessor of a student's work) and/or personal welfare (for example, academic advisor and advisee); or iii) a member of staff interacts with a student as part of their role (including the period during which a prospective student is applying for admission, and any period of time after the completion of a degree during which the staff member maintains a direct or indirect professional role, such as mentoring or writing references for a former student).

Where such a relationship exists, the policy prohibits, where that is the case, that a staff member remains in direct supervision (for example, PhD student and supervisor) or has direct or indirect responsibility for, or involvement in, that student's academic studies (for example, marker of a student's work) and/or personal welfare (for example, academic advisor and advisee). Instead, new arrangements need to be found that fully resolve the conflict of interest.

Regardless of the above, staff must declare any form of intimate or close personal relationship with any student so that any actual or potential conflicts of interest can be managed appropriately. This includes staff members who have a pre-existing relationship with someone who becomes a student.

A declaration must be made in accordance with the 'Declaring Personal Relationships' section below. Following a declaration, the line manager or Head of Department will consult with their HR Partner and an investigation will be conducted. Where a personal relationship involves the line manager or Head of Department, the investigation will be conducted by another appropriate manager in the School. If, as a result of the investigation, it is reasonably believed that misconduct has occurred, this will lead to a formal disciplinary investigation. Misconduct includes, but is not limited to, coercion, an abuse of power, grooming, favouritism, unwanted sexual advances or an intimate or sexual relationship.

Where a relationship is not found to constitute misconduct, the investigation will consider i) whether there is a conflict of interest or potential for a perceived conflict of interest and ii) what actions can be put in place to mitigate the conflict.

Any undeclared relationships between staff and students, or other contraventions of this procedure, will be regarded as a disciplinary matter. Where the staff member has direct supervision, direct or indirect responsibility for, or involvement in, that student's academic studies and/or personal welfare, or the nature of the relationship constitutes an abuse of power, it will be regarded as a matter of gross misconduct and the member of staff will be suspended in line with the relevant disciplinary procedure. A full investigation will be undertaken in all cases and, if upheld, will result in disciplinary action against the staff member, up to and including termination of employment.

The above applies even when the student may, in parallel, hold an employment contract with the School.

In all cases, consideration will take into account factors such as the nature and type of relationship, the duration of the relationship and whether this existed prior to the person becoming a student, the extent of the power imbalance, any particular vulnerabilities that exist for the staff or student member, the nature of the contact between the two parties and/or the potential for the member of staff to influence the student's academic and career progression.

Reasonable attempts will be made to obtain relevant information, in order to investigate historical allegations of an abuse of power that involve existing staff as far as possible, including any patterns of behaviour that emerge during the course of an investigation. Where such allegations are upheld, disciplinary action may be taken in line with the relevant procedure.

Direct responsibility includes, but is not limited to, direct management, direct supervision, assessment of the student's work, welfare or pastoral roles.

Indirect responsibility includes, but is not limited to, recruitment and selection, teaching (formal and informal), student conduct issues, extenuating circumstances, the awarding, and processing, of bursaries and grants and the issuing of references. Indirect responsibility will also normally include a member of staff within the same department as a student where there is a significant power differential.



### Personal relationships between staff members

As stated in the LSE Policy on Personal Relationships, LSE requires that personal relationships are declared in all cases where such a relationship results, or has the potential to result, in a conflict of interest. Where such a relationship develops or exists, the policy prohibits, where that is the case, that a staff member remains in a supervisory role (for example, principal investigator and research staff on the grant) or any other role of influence over their professional career (for example, line manager and staff who are line managed by them). Instead, new arrangements need to be found that fully resolve the conflict of interest.

Declaration must be made in accordance with the 'Declaring Personal Relationships' section below. Any undeclared relationships between staff which result, or have the ability to result in, a conflict of interest will be regarded as a disciplinary matter. A full investigation will be undertaken in all cases and, if upheld, will result in disciplinary action against the staff member, up to and including termination of employment.

Following declaration, the line manager or Head of Department will consult with their HR Partner and consider i) whether there is a conflict of interest or potential for a perceived conflict of interest and ii) what actions can be put in place to mitigate the conflict. Where a personal relationship involves the line manager or Head of Department, the investigation will be conducted by another appropriate manager in the School.

In considering whether there may be a conflict of interest, factors will be taken into account such as the nature of the relationship, including whether it is a relationship in which one staff member has positional power over the other, the duration of the relationship and whether this existed prior to the working relationship, the extent of the power imbalance, the impact or potential impact on the individuals and others around them, the nature of the decisions that may need to be taken as a result of the working relationship, the potential influence that one party may have on the other's career progression and/or any particular vulnerabilities of either party. Examples include line management/supervision or being in the same line management chain, working together in a small team where the relationship dynamic has a greater impact, working together on key decision-making committees or groups.

The relevant manager will consult with their HR Partner to consider the appropriate steps to be taken. Where an individual is involved in decision-making that would impact the other staff member, they will be immediately withdrawn from decision-making (e.g. promotions, review/reward decisions, appointment to permanent positions). The manager/Head of Department may consider transferring one party or both parties, making alternative line management or supervisory arrangements, seeking redeployment in line with the School's Redeployment Policy and Procedure or implementing other appropriate arrangements to eliminate the conflict of interest, depending on the circumstances. In very rare circumstances, such alternative arrangements may not be feasible, and LSE may then have to consider dismissing one or both parties.

Any actions required to mitigate the conflict of interest will be taken in consultation with the member(s) of staff. The manager making the decision regarding the measures to be put in place will notify the relevant parties and record these in the relevant section of the declaration form (see below).

Where a personal relationship exists but either, there is no conflict of interest, or the conflict of interest has been resolved, the individuals must ensure that they demonstrate professional behaviour at all times and do not allow the personal relationship to influence their behaviour whilst at work. Similarly, if a personal relationship comes to an end, both parties must ensure that they continue to work professionally together and conduct themselves in an appropriate manner. Complaints made in this regard will be investigated in line with the appropriate procedure.

### Declaring Personal Relationships

A member of staff who is involved in a personal relationship must notify their line manager or Head of Department/Service Leader/Centre Manager as soon as reasonably practicable and no later than a month from the start of the relationship. Where the manager is involved in the personal relationship, they should declare this directly to their HR Partner via MyView/the relevant notification form (see below). Where relevant, personal relationships should also be declared in the annual Declaration of Interests survey (or via email to [ethics@lse.ac.uk](mailto:ethics@lse.ac.uk)).

If the member of staff wishes to seek confidential advice before declaring a personal relationship, they can contact their HR Partner. This might include advice on whether the relationship is considered to fall under the remit of this procedure, the process that will be followed following a declaration, the possible options for managing a conflict of interest and the options should the other individual not wish to declare the relationship.

Once they have informed their manager or Head of Department/Service Leader/Centre Director, they should complete the notification form on MyView, which will be provided to the relevant HR Partner. Alternatively, during the first three months of the launch of the policy (September 2021 to November 2021 inclusive) declarations can be made using the notification form attached at Appendix A; these should be submitted to [hr.partners.confidential@lse.ac.uk](mailto:hr.partners.confidential@lse.ac.uk). Declarations will be treated respectfully, sensitively and confidentially and the notification form will be stored securely on the relevant HR file(s) and managed in accordance with data protection legislation.

Failure to disclose a relevant personal relationship within the stipulated timeframe will be considered a disciplinary matter and could amount to a breach of trust. The onus to declare rests with the more senior staff member, though either party may declare the relationship.

In staff/student relationships, whilst the responsibility for taking the above steps lies with the member of staff concerned, the student should report their relationship to another member of staff (e.g. Head of Department, if appropriate) or to the Deputy Head of Student Services (Advice & Policy), and request that the above steps be taken.

If another member of staff or student is aware of such a relationship taking place, then they are also expected to report the situation to their Head of Department or to the Deputy Head of Student Services (Advice & Policy) or the Adviser to Women Students. The individual making the report should keep the details confidential, seeking advice as necessary and in line with this policy. Advice may be sought prior to doing so (see 'Advice' below). Reports will be treated confidentially and only discussed with relevant individuals in accordance with this procedure. Third parties making a report in good faith will not suffer detrimental treatment<sup>6</sup> as a result of their declaration. If they believe that they have suffered any such treatment, they should inform the Deputy Head of Student Services (Advice & Policy) or their HR Partner immediately. If the detrimental treatment is not remedied, the individual should raise it formally using the relevant staff grievance or student disciplinary procedure.

Students who wish to seek advice on, or are concerned about reporting, a personal relationship may confidentially contact the Deputy Head of Student Services (Advice & Policy), the Adviser to Women Students or LSE Students' Union Advice Centre. While students are advised to approach the Deputy Head of Student Services (Advice & Policy) or other individuals named here, it is acknowledged that they may on occasion feel more comfortable approaching another member of staff within the department (academic or professional services). Advice can be sought on many different aspects including, for example, harassment, the impact of a relationship on a student's studies and fear of bias or retribution.

### Transfer of information

Subject to General Data Protection Regulations (GDPR), where an investigation into a staff member's conduct is instigated and the staff member leaves before it is concluded, the School will consider the process for informing other employers about such investigations if the staff member is known to have applied for roles elsewhere<sup>7</sup>.

### Advice

Staff can seek advice from their HR Partner or a trade union representative on the interpretation and application of this guidance. Students can seek advice from their academic advisor, the Head of Department or the Deputy Head of Student Services (Advice & Policy).

### Related policies and guidance papers

- LSE Ethics Code
- LSE Safeguarding Policy
- LSE Discrimination, Harassment and Bullying Policy
- LSE Conflicts of Interest Policy
- LSE Whistleblowing Policy
- LSE Sexual Violence and Sexual Harassment Policy
- Dignity at Work
- Disciplinary and Dismissal Policy and Procedure for Professional Services Staff
- Grievance Procedure for Professional Services Staff
- The Academic Annex
- Disciplinary Procedure for Students

### Footnotes

<sup>1</sup> <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/conIntPol.pdf>

<sup>2</sup> <https://info.lse.ac.uk/staff/divisions/Secretaries-Division/Assets/Documents/Ethics/EthicsCodeA5postcard.pdf>

<sup>3</sup> <https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safPol.pdf>

<sup>4</sup> <https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/LsePubIntDisPro.pdf>

<sup>5</sup> [lse.ac.uk/reportit](https://lse.ac.uk/reportit)

<sup>6</sup> Detrimental treatment includes but is not limited to dismissal, disciplinary action, threats or other unfavourable treatment

<sup>7</sup> This is in line with emerging practice in the Higher Education sector.

### Review schedule:

Review interval	Next review due by	Next review start
1 year	September 2022	May 2022

### Version history:

Version	Date	Approved by	Notes
1	May 2020	School Management Committee	Approved to take out for consultation
2	November 2020	JNICC	Approved
3	August 2021	School Management Committee	Approved



**Links:****Reference**

LSE Ethics Code

**Link**<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/ethCod.pdf>

LSE Safeguarding Policy

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safPol.pdf>

LSE Discrimination, Harassment and Bullying Policy

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/harPol.pdf>

LSE Conflicts of Interest Policy

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/conIntPol.pdf>

LSE Procedure for Considering Allegations of Harassment from Students Against Members of Staff

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/proHarStu.pdf>

LSE Whistleblowing Policy

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/lsePubIntDisPro.pdf>

LSE Sexual Violence and Sexual Harassment Policy

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/harVioPol.pdf>

Dignity at Work Statement

<https://info.lse.ac.uk/staff/divisions/Human-Resources/Wellbeing-Pages-2020/Professional-wellbeing>

Disciplinary and Dismissal Policy and Procedure for Professional Services Staff

<https://info.lse.ac.uk/staff/divisions/Human-Resources/Assets/Internal/staff/Policy/PSSDisAndDismissal.pdf>

Grievance Procedure for Professional Services Staff

<https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/griPolProAcaSupSta.pdf>

The Academic Annex

<https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/acaAnn.pdf>

Disciplinary Procedure for Students

<https://info.lse.ac.uk/staff/Services/Policies-and-procedures/Assets/Documents/disProStu.pdf>**Contacts:****Position****Name****Email****Notes**

Chief Operating Officer

Andrew Young

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Sponsor

**Communications and Training:**

Will this document be publicised through Internal Communications?

**Yes**

Will training needs arise from this policy

**No**

If Yes, please give details:

The policy launch will have to ensure adequate communication so that staff and students understand the requirements placed upon them.

# CODE OF PRACTICE ON FREE SPEECH

## 1. Preamble

- 1.1 Universities have wide-ranging responsibilities. Among the most fundamental of these is the responsibility to protect and promote freedom of speech within the law. However, legal obligations also exist which may set limits on certain freedoms, in order to protect the rights and freedoms of others.
- 1.2 In accordance with the above, the following are two of the most important values enshrined in the School's Articles of Association:
  - (a) Everyone shall be entitled to equal treatment on the basis of individual merit and without unfair discrimination as regards admission to and membership of the School, whether that be as a Member of Council, officer or employee of the School or as a student or other individual associated with the School.
  - (b) Every individual associated with the School shall be entitled to freedom of thought, conscience and religion, and to hold opinions without interference, disability or disadvantage, and to freedom of expression and speech within the law, including the right to seek, receive and impart information and ideas of all kinds.
- 1.3 The School has adopted this Code of Practice ('the Code') to help ensure that freedom of speech within the law is secured for students, employees and other members of the School (including honorary and visiting staff) and for all persons authorised to be on School premises, including visiting speakers.
- 1.4 This Code supports the LSE Ethics Code principle of intellectual freedom. The Ethics Code supports the School's commitment to intellectual freedom through the protection of individuals' freedom of expression and by upholding the freedom to research and to convey the findings of research.
- 1.5 The School supports the Russell Group statement of Principles on Freedom of Speech.
- 1.6 The School Management Committee (SMC) will be responsible for policy issues connected with the interpretation of this Code, and will consider matters relevant to this Code as circumstances require. SMC will review the Code at intervals and consult with Academic Board on significant changes to it. Council will approve the Code.
- 1.7 In accordance with the duties imposed upon it by Section 43 of the Education (No 2) Act 1986, the Council of the School approved the following Code of Practice to help ensure as far as reasonably practicable that freedom of speech within the law is secured for students and staff of the School and for visiting speakers.
- 1.8 The 1986 Act does not directly bind the LSE Students' Union (LSESU). However, the School's Memorandum of Understanding with the LSESU commits the Union to adhering to the provisions of this Code.

## 2. Scope

- 2.1 This Code applies to all activities on any premises wherever situated, of which the School has title or possession, by freehold, leasehold, licence or otherwise, including its halls of residence, students' union premises and the Faith Centre ("the Premises"). It also applies as appropriate to all activities of staff or current students in any other location when carried out in the name of the School or of the LSESU. This Code makes particular provision in respect of activities such as meetings and events, including public lectures, conferences, lectures, seminars, committee meetings and musical and theatrical performances ("Events").

## 3. Principles

- 3.1 The School operates with a presumption in favour of free speech.
- 3.2 The School, as an institution, does not take a formal position on political or international disputes. Instead, it endeavours to provide a platform to facilitate discourse on contemporary issues by encouraging critical debate, within the law, where the views of all parties are treated with respect.
- 3.3 So far as is reasonably practicable, the use of the Premises shall not be denied to any individual or body of persons on any ground connected with:
  - a. the beliefs or views of that individual or of any member of that body; or
  - b. the policies or objectives of that body except insofar as it is anticipated that unlawful activity is likely to occur.
- 3.4 Activity may be deemed unlawful under a range of legislative provisions, including but not limited to the Equality Act 2010, the Public Order Act 1986 and the Counter Terrorism and Security Act 2015. Examples, which are not exhaustive, of unlawful activity include the following:
  - expression of racial hatred or religious hatred, or incitement to such hatred or to violence or other criminal acts;
  - direct support of an organisation that is proscribed in the UK;
  - contravention of counter-terrorism legislation;
  - breach of the peace;

- public order offences;
- contravention of health and safety legislation.

- 3.5 Under the statutory duty derived from the Counter Terrorism and Security Act 2015, the School has a legal obligation to consider whether the views to be expressed, or that are likely to be expressed, by a speaker on campus constitute extremist views that risk drawing people into terrorism or are shared by terrorist groups; and in such circumstances not to allow Events to proceed except where the School is entirely convinced that such risk can be fully mitigated without cancellation of the Event. However, the Counter Terrorism and Security Act and the statutory duty do not in any way change the definition of free speech within the law. Support for or promotion of terrorism is already illegal under previous legislation and as such the School will not allow it to take place on the Premises.
- 3.6 The expression of views which are unpopular, controversial or provocative or which cause offence does not, if lawful, constitute grounds for the refusal or cancellation of an Event.
- 3.7 The School reserves the right to impose such conditions upon the use of the Premises as are reasonably necessary for the discharge of its obligations relating to the safety, health and welfare of its registered students, employees and other persons lawfully upon the Premises or for the efficient conduct and administration of its functions. Conditions for Events may include, for example, restrictions on access by those outside the School, or the provision of appropriate security. Event organisers will in principle be required to meet the cost of conditions required; however, the School will always endeavour to help from central budgets if funding is unavailable.
- 3.8 The School reserves the right to decide that practical considerations such as the cost, short notice period or difficulty of providing the necessary level of security may require an Event to be modified, curtailed, postponed or – in exceptional circumstances – cancelled.

#### **4. Responsibility for security and safety**

- 4.1 The School's Head of Security, or their nominee, will provide security risk management advice to Event organisers. Where it is identified that an Event poses a security risk to any person, facility or business process, the Head of Security or their nominee can be requested to provide or coordinate security arrangements for the Event. They will act as the main point of contact for any necessary dealings with the police. In addition, where security-related decisions need to be taken at very short notice – such as immediately prior to an Event or where an Event is under way - the Head of Security or their nominee has delegated authority to cancel, postpone or close an Event, or impose whatever restrictions are necessary to ensure security, safety and the maintenance of good order. They will normally do so in consultation with the Event Chair, as long as circumstances allow.
- 4.2 For the purposes of the preceding paragraph, security and safety risks are defined as risks to the life or physical health of any person, or of damage to the Premises, or of theft of or damage to property, or of disruption of an Event to the point at which good order is threatened. Examples of contravention of good order are given at paragraph 6.1 below.
- 4.3 The Head of Security or their nominee has authority over the conduct of all security activity conducted on the Premises. Normally only LSE Security and officially-retained contractors may conduct security activity on the Premises. The presence of any external security organisation on the Premises and their role and conduct while on the Premises must be authorised by the Head of Security or their nominee.

#### **5. Procedures in respect of Events**

- 5.1 Advance booking of at least ten working days is required for most School venues which are suitable for Events. Most bookings are handled by Room Bookings in Estates Division. However, venues controlled by LSE Residences or the Faith Centre should be booked directly with those units. Other venues in the Saw Swee Hock Student Centre should be booked through the Students' Union. Departmental meeting rooms and similar should be booked with their owners. Extensive guidance for Event organisers is available on the School website.
- 5.2 The organisers of any Event for which a venue is booked through Room Bookings are required to appoint an individual, who must be a registered student booking on behalf of a registered SU Society or an employee of the School, to act as Principal Organiser of the Event for the purposes of this Code. The Principal Organiser shall be responsible, as far as is reasonably practicable, for ensuring that the organisation of the Event and the conduct of those attending it, whether from the LSE community or outside, is lawful and conforms to the provisions of this Code, to all relevant School guidance and to any condition relating to the Event imposed under this Code. This includes ensuring that the Event Chair is properly briefed. For the avoidance of doubt, a registered student for the purposes of this Code is a student who is pursuing an undergraduate or postgraduate programme of study for which they are receiving teaching or supervision or both.
- 5.3 In respect of Events for which they handle bookings, Room Bookings will seek advice if necessary on matters related to free speech, in the first instance from the Director of Communications and Public Affairs or their nominee. He or she will seek further advice if necessary, from the Director or another member of SMC, especially in cases in which issues of principle in respect of free speech arise, or if it is proposed that

access to an Event be significantly modified or curtailed or that it be postponed or cancelled. Any stipulation requiring one or more speakers not to participate in an Event which otherwise goes ahead requires the explicit approval of the Director or another member of SMC. The Director or the other member of SMC concerned will retain the right to take the final decision in respect of the operation of this Code.

- 5.4 Venue controllers other than Room Bookings have discretion in respect of venues they control not to require a Principal Organiser from the School community, should that be inappropriate. However, all venue controllers shall similarly be responsible, as far as is reasonably practicable, for ensuring that the organisation of the Event and the conduct of those attending it, whether from the LSE community or outside, are lawful and conform to the provisions of this Code and to all relevant School guidance, including in respect of any conditions the School may require to be met. This includes ensuring that the Chair is properly briefed. If advice on free speech matters is needed, venue controllers should contact the Director of Communications and Public Affairs, who will if necessary escalate the issue as set out in the previous paragraph.

## **6. Conduct expected at and in respect of Events and Event Chairing**

- 6.1 Everyone who organises, speaks at or attends an Event at LSE is required to observe good order. Good order includes, but is not limited to, refraining from the following:
- preventing participants from accessing or leaving Events safely;
  - preventing speakers from being heard clearly;
  - chanting or using foul or abusive language, including racial abuse;
  - refusing reasonable requests from an Event Chair, Event steward or other LSE staff involved in managing an Event;
  - displaying flags, banners, placards or similar items in an Event;
  - throwing any item;
  - acting in any other way which is threatening or abusive, or which denies to others their right to legal free speech.
- Nobody who has exercised their right to legal free speech should suffer censure as a result.
- 6.2 It is the responsibility of the Event Chair to ensure that anyone who wishes to challenge or criticise the views of the speaker(s) in an orderly fashion is allowed to do so.
- 6.3 Events that are open to others than current LSE staff or students should always be chaired by a suitable and experienced figure who is fully familiar with the School, meaning in principle an established (not visiting) or emeritus member of the LSE academic staff or a member of Council; this may be requested even for a limited access event if appropriate.
- 6.4 The primary duty of the Event Chair at all School events is to uphold freedom of speech within the law. This means that the Event Chair must adhere at all times to the School's Code of Practice on Free Speech. The Event Chair also has important responsibilities in maintaining good order at events, and must follow the relevant School guidelines. Chairs at LSE events should therefore always act impartially in their facilitation of discussion and debate.
- 6.5 At Events where discussion is likely to be highly polarised and provoke especially strong feelings and responses, Event organisers should consider whether it would be best for someone to chair the event who has not previously made their views publicly known. In any case, at Events of this type Chairs should take particular care to ensure that they act impartially and that they are seen to do so. At Events of this type, Chairs may pose questions to the speaker(s) but should not be a speaker at the Event themselves or be expressing their own views on the subject matter of the Event. Chairs for events of this type must be willing to undertake the relevant preparation, in coordination with the support of relevant School staff, in the run up to the event.
- 6.6 SMC reserves the right to reject a proposed Event Chair and require event organisers to find a different Event Chair, but only if the proposed Event Chair is not a suitable and experienced figure who is fully familiar with the School or if there is evidence to provide reasonable grounds to believe that the proposed Event Chair has not acted impartially when chairing previous Events or has not upheld freedom of speech at previous Events. Imposing a change of Chair requires the explicit approval of the Director or another member of SMC, and the reasons for it must be communicated in written form to the Event organiser.

## **7. Appeals and sanctions**

- 7.1 Any contravention of or departure from the provisions of this Code may render the individual(s) responsible liable to the appropriate sanctions or disciplinary procedures of the School.
- 7.2 An appeal by any LSE student or staff member against a decision made under this Code by the School's staff at the level of Pro Director or below may be made, within ten working days, to the Director. The decision of the Director shall be final.

**Relevant Policies, Guidance and Forms**Policies and Regulations for Events (including Room Booking Policy, Health and Safety Policy, Prevent Duty)Good Practice Guidance for EventsRoom Bookings for StaffLSESU Society Room Bookings**Review schedule:****Review interval**

3 years (this version of the policy is due for review in one year)

**Next review due by**

May 2022

**Next review start**

Jan 2022

**Version history:**

Version	Date	Approved by	Notes
1.0	26/4/2016	Council	
2.0	2/5/2018	Academic Board	Updated to reflect change to rules on event chairs, etc.
2.0	15/05/2018	Council	Updated to reflect change to rules on event chairs, etc.
2.1	May 2021	SMC	Minor changes approved with a further

**Links:****Reference****Link****Contacts:**

Position	Name	Email	Notes
School Secretary	Louise Nadal	<a href="mailto:l.nadal@lse.ac.uk">l.nadal@lse.ac.uk</a>	Author

**Communications and Training:**

Will this document be publicised through Internal Communications?

**Yes**

Will training needs arise from this policy

**No**

If Yes, please give details:

## Disclaimer

Every effort has been made to ensure that the information in the Calendar is correct and up-to-date at the time of publication (August 2022). Circumstances may change subsequent to publication. The online version of the Calendar, which will be adjusted from time to time throughout the year, is the definitive version: in the case of differences between versions, the online version should be considered authoritative. The School reserves the right at all times to withdraw or alter particular courses and syllabuses, and to alter the level of fees.

