Research Committee
LSE

Schedule	Wednesday 9 October 2024, 2:00 PM — 4:30 PM BST
Venue	CBG 11.13
Organiser	Casimira Headley-Walker

Agenda

Procedural

2:00 PM   1. Welcome

2:05 PM   2. Declarations of Interest

2:07 PM   3. Terms of Reference

📄 RC2401 Terms of Reference UPDATED.docx   1

2:12 PM   4. Minutes

2:15 PM   5. Matters Arising

📄 RC2403 June 2024 Matters Arising.docx   6

2:18 PM   6. Pro-Vice Chancellor's Update
            Presented by Susana Mourato

Items for Discussion

2:25 PM   7. Global School of Sustainability

2:55 PM	8. Research for the World Strategy: Recognising, rewarding and supporting impact
	Presented by Chloe Parkin

3:10 PM	Coffee Break

3:20 PM	9. Research Centre Review External Panel Members
	Presented by Casimira Headley-Walker

RC2404 Research Centre External Reviewers.docx 8

3:30 PM	10. Governance of Research Units Document
	Presented by Casimira Headley-Walker

RC2405 Governance of Research Units.docx 17

3:40 PM	11. Formation of Research Units Working Group
	Presented by Michael Bruter

RC2406 Research Unit Working Group.docx 41

3:45 PM	12. Institute Proposal Forms

3:50 PM	13. KEI Strategy Committee Closure
	Presented by Elizabeth Stokoe

RC2408 KEISC Closure.docx 43

4:00 PM	14. Department of Statistics Review Report

RC2409 Department of Statistics Review Report.pdf 49

4:10 PM	15. Additional Research Ethics Committee Members
	Presented by John Chalcraft

RC2410 REC Expansion.docx 65

4:15 PM	16. Any Other Business

Items to Note

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Meeting and date	Research Committee, 09 October 2024
Title of paper	Research Committee Terms of Reference 2024-25
Decision or Information item	Decision
Purpose of paper	The updated terms of reference for the new academic year. • The KEI Strategy Committee has been removed • Membership has been updated • 'Group VI', which is not used outside Research Committee, has been renamed 'Research Centre Members' for greater clarity.
Outcome requested	The Committee is asked to approve the Terms of Reference and Membership for 2024-25.
Restricted business	No
Author	Casimira Headley-Walker
Sponsor (if relevant)	None
Previous consultation	

THE **LONDON SCHOOL**
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RESEARCH COMMITTEE MEMBERSHIP AND TERMS OF REFERENCE 2024/25

The Research Committee is a sub-committee of the Academic Board and will report to Academic Board at least annually.

1. The Committee shall advise and support the Vice President and Pro-Vice Chancellor (Research) in meeting their responsibilities to encourage and facilitate research of the highest quality.

2. The Committee shall have overall responsibility for monitoring and ensuring the delivery of the Research for the World Research Strategy, including KPIs, which shall be agreed in relation to the following areas:.
   a. Research
   b. Impact
   c. Influence

   The Committee shall have overall responsibility for ensuring that research undertaken by members of the School is conducted in an ethically sound manner, in accordance with the School's policy on research ethics and research misconduct.

3. The Committee shall promote the Impact and Influence strands of the Research for the World Strategy, along with . its commitment to research excellence.

4. The Committee shall oversee the School's preparations for all government research assessment exercises and the work of the REF Strategy Committee, ensuring the Research strand of the Research for the World Strategy is carried out

5. The Committee shall encourage and facilitate the highest quality research and in particular shall seek to initiate and to secure means for the development of research.

6. The Committee shall be responsible for keeping under review the research activities of the School and ensuring effective governance structures are in place for research:

   a. refine research governance and quality measures to monitor school-wide research activities, including advising on and approving departmental peer review systems for research grant proposals;

   b. undertake regular reviews of all Research Centres and Institutes on behalf of the School, in conjunction with appropriate external assessors;

   c. receive and consider reports on Departmental Research Units (DRUs) and inter-Departmental Research Units (iDRUSs) undertaken by the relevant Departmental Research Committee on a three-yearly basis or more frequently as the Research Committee shall require;

   d. have the right to conduct reviews of DRUs and iDRUs on its own initiative or as a result of a request from a HOD or Departmental Research Committee;

   e. support HODs in their responsibility for managing DRUs and iDRUs;

f. require the closure of a DRU or iDRU if it is no longer meeting its objectives, or if a closure is requested by the parent HoD(s), after all relevant individuals involved with the DRU/iDRU have been consulted;

g. can recommend to Academic Board and Council that a Research Centre be disbanded if its governance structure and / or research is not meeting School expectations for accountability and research quality;

h. receive and consider reports from, and liaise with, the Research and Policy Staff Committee on a regular basis;

i. address any issues that the Research and Policy Staff Committee requests that Research Committee consider.

7. The Committee shall oversee the use of all research funds and grants for which the School is accountable. In particular it:

a. Shall have the right to receive for assessment annual reports on the use of all research funds and grants for which the School is accountable;

b. shall oversee, through the Research Development Panel, selecting bids to in which the School is restricted in the number of applications it may make;

8. The Committee shall have overall responsibility for the development of the School's strategy and policy in relation to postgraduate research student activity. This shall include;

a. overseeing the Training and Supporting Future Talent workstream of the Research for the World Strategy;
b. developing the LSE PhD and considering its place within the School's overall research strategy, the infrastructure for interdisciplinary research and the promotion of equality, diversity and inclusion;
c. overseeing the PhD Academy's approach to skills training for research degree students, including the Doctoral Training Partnership;
d. developing the School's strategic approach to PhD studentships including in response to Research Council initiatives – this may include submitting bids to the Research Councils and monitoring Research Council funded programmes if the bids are successful;
e. assuming overall responsibility for operating the LSE PhD programme, including determining the number of scholarships available in each Department/Institute
f. considering proposals for PhD activity in collaboration with other institutions, including in response to Research Council or European Commission initiatives;
g. ensuring that research undertaken by research degree students is undertaken in an ethically sound manner, including with regard to integrity in data management and that research students receive adequate supervision;
h. overseeing the work of the PhD Academy in developing the status of research degree students within the School.

8. The Committee will comply with the School's Ethics Code and the Committee Effective Behaviour Statement.

MODE OF OPERATION

Research Committee meets twice per term. Working groups may be formed to undertake specific

tasks under the Committee's terms of reference and ad hoc items which may periodically arise.

All sub-committees and working groups shall operate under the strategic direction of the Research Committee to which they shall report on an annual basis or more frequently as the Research Committee requires and to which they can make recommendations.

The subcommittees of the Research Committee are:

- Research Ethics Committee

The working groups of the Research Committee are

- Research Development Panel

- Impact and Innovation Panel

- REF Strategy Committee

Operational responsibility for research ethics will be discharged through a sub-committee, the Research Ethics Committee.

Operational responsibility for selecting bids to in which the School is restricted in the number of applications it may make will be discharged through a working group, the Research Development Panel.

Operational responsibility for the REF will be discharged through a working group, the REF Strategy Committee.

MEMBERSHIP

Ex-officio members:

Pro-Vice Chancellor (Research), Professor Susana Mourato
Associate Pro-Vice Chancellor (Research), Professor Michael Bruter
Associate Director for Impact, Professor Elizabeth Stokoe
Director of Library Services, Niamh Tumelty
Director of Research and Innovation, Dr Jen Fensome
Chair of Research Degrees Sub-committee, Professor Joan Roses
Director of the PhD Academy, Professor Bingchun Meng
Chairs of the Research Committee sub-committees:
Chair of the Research Ethics Committee, Professor John Chalcraft
Chair of REF Strategy Committee, Professor Michael Bruter
Chair of Research Development Panel, Professor Susana Mourato
Chair of Impact and Innovation Panel, Professor Elizabeth Stokoe

Group I	Dr Maria Correia	to 31.7.26
	Dr Stefano Cascino	to 31.7.26
Group II	Professor Tiziana Leone	to 31.7.26
Group III	Professor Fiona Steele	to 31.7.26
	Dr Gharad Bryan	to 31.7.27
Group IV	Dr Nick Long	to 31.7.27

Group V	Professor Albrecht Ritschl	to 31.7.25
	Dr Kasia Paprocki	to 31.7.26
Research Centre	Professor Ricky Burdett	to 31.7.25
Members	Dr Raphael Wittenberg	to 31.7.25

There is no formal quorum; the Chair will decide on a case-by-case basis whether at any time representation on the Committee is insufficient for the business in hand.

In attendance:

Vice President and Pro-Vice Chancellor Planning and Resources, Professor Eric Neumayer
Vice President and Pro-Vice Chancellor Faculty Development, Professor Charles Stafford
Director of Human Resources, Indi Seehra
Director of Communications, Fiona Metcalfe
Deputy Director, Research and Innovation, Grace McConnell
Head of Research Governance and Culture, Jo Hemmings
Executive Director of Development, Helen Jones
PhD Academy Manager, Dr Pete Mills
Committees and Governance Manager, Casimira Headley-Walker

Action items arising from
Research Committee
Wednesday 26 June 2024, 10:30 AM — 1:00 PM BST

Agenda	Action	Due Date	Assigned To	Status
4.. Matters Arising	Chair to meet with Head of International Relations before and after the upcoming department related Research Centre Reviews.	5 Jul 2024	Susana Mourato	Outstanding
4.. Matters Arising	Amend the training and support workstream		Bingchun Meng, Pete Mills	Outstanding
4.. Matters Arising	Update Governance of Research Document.	1 Aug 2024	Casimira Headley-Walker	Completed
4.. Matters Arising	Make use of the Data Science Institute to draw together staff who are working on AI at LSE, and establish clear links. On hold during DSI reconsideration.		Ken Benoit	On hold
4.. Matters Arising	Research and Innovation to provide a summary of unsuccessful grants, detailing reasons given and commonalities in the applications. Tableau Dashboards now available. Chair requests in the form of a paper.	2 Dec 2024	Anouska Nithyanandan	Outstanding
4.. Matters Arising	Establish a list of AI researchers at LSE, and ensure they receive directed communications. On hold during DSI reconsideration.	31 May 2024	Ken Benoit	On hold

Agenda	Action	Due Date	Assigned To	Status
4.. Matters Arising	Proactively contact UKRI Centres for Doctoral Training in artificial intelligence for collaboration. On hold during DSI reconsideration.	31 May 2024	Ken Benoit	On hold
4.. Matters Arising	PhD Academy to provide an annual summary of applications and awards	2 Dec 2024	Peter Mills	Outstanding
6.. Research for the World Strategy: spotlight on enhancing civic engagement	Circulate Leading for London Summary note	12 Jul 2024	Fiona Metcalfe	Outstanding

Page **2** of **2**

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Meeting and date	Research Committee, 09 October 2024
Title of paper	Research Centre External Reviewers
Decision or Information item	Decision
Purpose of paper	A list of the proposed external reviewers for four research centres being reviewed later in the year.
Outcome requested	The Committee is asked to confirm the nominated reviewers and provide preferences.
Restricted business	No
Author	Casimira Headley-Walker
Sponsor (if relevant)	None
Previous consultation	Names obtained from the centres being reviewed.

Research Centre External Reviewers

Centre for Philosophy of Natural and Social Sciences

1. Wendy Parker (Virginia Tech)
   Wendy Parker is professor of philosophy at Virginia Tech. Her research focuses on topics in general philosophy of science and philosophy of climate science/meteorology. She is co-Editor in Chief of The British Journal for the Philosophy of Science, a Contributing Author to the Intergovernmental Panel on Climate Change (IPCC) 6th Assessment Report, a member of th US CLIVAR Ocean Uncertainty Quantification Working Group, a Board Member of the PhilSci-Archive and an Advisory Board Member, Institute for Data Science (IDAS), Durham University.

2. Huw Price (Cambridge)
   Huw Price is Bertrand Russell Professor of Philosophy and a Fellow of Trinity College, University of Cambridge. He was previously the Director of the Centre for Time at the University of Sydney and author of Time's Arrow and Archimedes' Point. He became interested in existential risk after a chance encounter with Jaan Tallinn, and has written extensively to the public about such risks.

   His work is supported by the Templeton World Charity Foundation as part of the Managing Extreme Technological Risk project at CSER.

3. Sam Fletcher (Oxford)
   Samuel C. Fletcher is a Professor of Philosophy of Physics at Oxford, and a Fellow of Merton College. Through a continuing affiliation with the Minnesota Center for Philosophy of Science, he will serve as Principal Investigator of the project, A Modern Philosophy for Classical Statistical Testing and Estimation, until 2026.

   Much of his work has focused on the foundations of physics and statistics, exploring how problems in these fields both inform and are informed by broader issues in the philosophy of science. He is also interested in the conceptual and physical basis of computation, metaphilosophy, and the history of physics and philosophy of science.

4. Alisa Bokulich (Boston)
   Alisa Bokulich received her Ph.D. from the University of Notre Dame's Program in History & Philosophy of Science. She is the director of the Center for Philosophy & History of Science at BU (since 2010), where she also organizes the Boston Colloquium for Philosophy of Science. Professor Bokulich is also an Associate Member of Harvard University's History of Science Department and was a 2021-22 Harvard Radcliffe Fellow.

   Bokulich's research is primarily focused on scientific modeling, data, and explanation in the physical sciences, especially (more recently) the Earth sciences (geosciences). She is currently writing a new monograph on the philosophy of the geosciences, which draws on conceptual and methodological issues in geomorphology, stratigraphy, paleontology, and geochronology, with chapters on issues related to models, data, uncertainty, typification, and the philosophy of geologic time.

5. Alan Love (Minnesota)
   Alan Love is the Distinguished McKnight University Professor of Philosophy and the Director of the Minnesota Centre for the Philosophy of Science at the University of Minnesota.

LSE Cities

The Research and Innovation Team recommend Professor Sue Parnell and Professor Peter Bishop.

Two proposed reviewers were removed as a member of the Centre's Advisory Board.

1. Diane E. Davis (Harvard)
   Diane E. Davis is the Charles Dyer Norton Professor of Regional Planning and Urbanism and former Chair of the Department of Urban Planning and Design (UPD) at the Harvard University Graduate School of Design. In addition to her continued teaching in UPD, and her membership on the GSD's two doctoral degree committees, she is Project Director of the Mexican Cities Initiative. Among her other activities at Harvard are the following; Faculty Affiliate, Bloomberg Center for Cities; Executive and Steering Committee Member at the Weatherhead Center for International Affairs; Executive Committee Member at the David Rockefeller Center for Latin American Studies, where she also co-heads the Rockefeller Center's Faculty Committee on Mexico; Faculty Affiliate at Harvard's Center for the Environment; and Faculty Affiliate at the Asia Center. In the past year she was named a Fellow (2023-2028) by the Canadian Institute for Advanced Research (CIFAR), which also is funder the Project "Humanity's Urban Future," of which Davis is a co-Director. This is a five year project involved a team of 10 global scholars examining Mexico City, Kolkata, Shanghai, Kinshasa, Naples, and Toronto. Davis is also a member of the "Strengthening Communities for the Energy Transition" team which received three year funding from Harvard's Salata Institute for Climate and Sustainability.

2. Susan Parnell (Bristol)
   Susan Parnell is a Global Challenges Research Professor in the School of Geography at the University of Bristol and Emeritus Professor at the African Centre for Cities (ACC) at the University of Cape Town.

   She has held previous academic positions at Wits University and the University of London (SOAS). She was a Leverhulme Visiting Professor at UCL in 2011/2, Emeka Anyaoku Visiting Chair University College London in 2014/15 and Visiting Professor at LSE Cities in 2017/18.

   She has been actively involved in local, national and global urban policy debates around the 2030 Sustainable Development Goals and is an advocate for better science policy engagement on cities.

   She is the author of numerous peer-reviewed publications that document how cities, past and present, respond to policy change. Her most recent books include the co-authored Building a Capable State: Post Apartheid Service Delivery (Zed, 2017) and the co-edited The Urban Planet (Cambridge, 2018).

   Sue is currently on the Board of the International Institute for environment and Development (IIED) and serves as a member of the African Centre for Cities Advisory Board and had previously served on several NGO structures.

3. Peter Bishop (UCL)
   Peter Bishop is Professor of Urban Design at the Bartlett School of Architecture, University College London, and a director at the architecture firm Allies and Morrison. Before joining UCL in May 2012, he worked at a senior level in London government for 25 years, and was appointed in 2006 to head up Mayor Ken Livingstone's new architectural and design unit, 'Design for London'. The remit from the Mayor was "to think about London, what makes London unique and to devise

strategies and projects to make it better". Design for London operated as the focus for design leadership for London government, and built up an international profile, seen by many cities as a unique experiment in urban planning and design. In 2011 he was commissioned by the British Government and The Design Council to examine and report on how architectural and urban design could be embedded in government policy thinking and local practice. The Bishop Review was published in October 2011 and was considered as part of the Government reform of the UK planning system.

Suntory and Toyota International Centres for Economica and Related Disciplines

The Research and Innovation Team recommend Professor Paul Johnson of the IFS, and Professor Sarah Smith of Bristol University, with Professor Claus Thustrup Kreiner of the University of Copenhagen as first reserve.

1. Niels Johannesen (Oxford)
   Niels Johannesen is Director of the Oxford University Centre for Business Taxation at Saïd Business School and a part-time Professor of Economics at the University of Copenhagen.

   Niels joined the School in 2023 after more than ten years at the University of Copenhagen.

   He has a PhD in Economics from the University of Copenhagen and has held visiting positions at the University of California, Berkeley, University of Michigan and the European University Institute, Florence.

   Niels has been highly active in global policy debates about offshore tax evasion. He has given policy talks drawing on his research at the OECD Global Forum, the European Commission and the parliaments in Denmark and the Netherlands. He is currently serving on an Expert Committee on Business Subsidies appointed by the Danish government.

2. Paul Johnson (Institute of Fiscal Studies)
   Paul has been director of the Institute for Fiscal Studies since 2011. He is a columnist for The Times and is a regular contributor to other broadcast and print media. He is a visiting professor in the UCL Policy Lab and at the UCL department of economics.

   He was for 10 years a member of the UK Climate Change Committee and has served on the council of the ESRC and of the Royal Economic Society. Paul led reviews of pension auto-enrolment and of inflation measurement for the UK government, and of fiscal devolution for the Northern Ireland executive.

   Previous roles have included time as chief economist at the Department for Education and as director of public spending at HM Treasury, where he also served as deputy head of the government economic service.

   Paul published the Sunday Times bestseller "Follow the Money" in 2023.

   He was appointed CBE in the 2018 birthday honours.

3. Imran Rasul (Institute of Fiscal Studies)
   Imran Rasul is Professor of Economics at University College London, co-director of the Centre for the Microeconomic Analysis of Public Policy at the Institute for Fiscal Studies, and research co-director of the Entrepreneurship Research Group of the International Growth Centre. His research interests include labor, development and public economics and his work has been published in leading journals such as the Journal of Political Economy, Quarterly Journal of Economics, Econometrica and the Review of Economic Studies. He is currently managing editor of the Journal of the European Economic Association, and he been a co-editor and director of the Review of Economic Studies (2009-17). He was awarded the 2007 IZA Young Economist Prize, the 2008 CESIfo Distinguished Affiliate Award, an ERC-starter grant in 2012, and a British Academy Mid-career Fellowship in 2018.

4. Monica Costa Dias (Institute of Fiscal Studies)
   Monica is an Associate Director at the IFS and a Research Economist at the Centre for Economics and Finance, University of Porto. Her research interests are mainly on Labour Economics and the Economics of Education, with a focus on the determinants of individual and household choices, including human capital investments, labour supply and intra-household allocation of resources, and their consequences for inequality and the evaluation and design of tax and welfare policies

5. Kimberley Scharf (Nottingham)
   Kim is Professor of Economics and Public Policy and Head of the School of Economics at the University of Nottingham. She is also a Fellow of the Academy of Social Sciences, Member of Council at the ESRC and an Editor of Fiscal Studies. Her research interests include: The economics of charitable giving, fundraising and philanthropy; public economics; social data science; international tax; political economy; and microeconomic theory.

6. Claus Thustrup Kreiner (Copenhagen)
   Claus Thustrup Kreiner is Professor of Economics and Director of the Center for Economic Behavior and Inequality (CEBI) at the University of Copenhagen. He serves as Area Director of Public Economics in the CESifo network and was a co-editor of the Journal of Public Economics from 2014 to 2020. Most of his research has centered on Public Economics, but he has also published research in many other areas. His work with colleagues at CEBI, Columbia University, Harvard University, Princeton University and UC Berkeley includes articles in American Economic Review, Econometrica, and Review of Economic Studies dealing with inequality in income, wealth and health, optimal tax and transfer policy and behavioral responses to public policy. He gave the Richard Musgrave Lecture 2020 where he talked about the role of behavior for inequality and public policy. He has practical policy experience from being member of the Danish 2008-2009 Tax Commission, co-chair of the Danish Economic Council (vismand) 2010-2014, member of an Expert Commission on the Design of a Green Tax Reform 2022-2024, and chair of an Expert Commission on Reforming the Danish Active Labor Market Policy 2023-2024.

7. Søren Leth-Petersen (Copenhagen)
   Søren Leth-Petersen is a Professor of Economics and Deputive Director of Center for Economic Behavior and Inequality (CEBI) at the University of Copenhagen. He does applied research, and his primary research themes are labor supply, consumption and savings, household finance and, in particular, expectations to outcomes in these domains.

8. Sarah Smith (Bristol)
   Sarah Smith is an applied micro-economist whose research covers public and labour economics. She is currently working on issues in both pro-social behaviour and diversity in economics. She is founder and co-chair of Discover Economics, a campaign to increase diversity among economics students. She is Secretary of the Regional Standing Committee of the Econometric Society. She has been chair of the Royal Economic Society's (RES) Women's Committee (2017-20), an elected member of the RES council (2012-2017) and the European Economics Association council (2014-2018), and Deputy Chair of the REF2021 Economics and Econometrics sub-panel. She was awarded an OBE in the 2022 Queen's Birthday Honours for services to economics and education.

Saw Swee Hock Southeast Asia Centre

The Research and Innovation team recommend Professor Michele Ford and Professor Evelyn Goh, with Professor Mark Thompson as first reserve.

1. Lisandro Claudio (University of California at Berkeley)

   Lisandro Claudio, an intellectual and cultural historian of the Philippines, is an Associate Professor at the Department of South and Southeast Asian Studies and is presently the faculty chair of Berkeley's Center for Southeast Asia Studies. His book Liberalism and the Postcolony: Thinking the State in Twentieth-Century Philippines (NUS, Kyoto, and Ateneo de Manila Press) received the 2019 George McT. Kahin Prize from the Association of Asian Studies and the 2019 European Association for Southeast Asian Studies Humanities Book Prize. He is also the author of a short book , Jose Rizal: Liberalism and the Paradox of Coloniality (Palgrave), which examines how turn-of-the-century liberalism informed the birth of Filipino literature and nationalism.

   Before his appointment at Berkeley, Claudio taught at Ateneo de Manila University and De La Salle University. He was also a post-doctoral fellow at Kyoto University's Center for Southeast Asian Studies.

2. Michele Ford (Sydney)

   Professor Michele Ford is based in the Discipline of Asian Studies at the University of Sydney, Australia. Her research focuses on Southeast Asian labour movements, the intersection between national and international trade unions, union responses to temporary labour migration and labour's engagement in the political sphere. This work has been supported by several Australian Research Council (ARC) grants. Michele currently leads an ARC Discovery Project on employment relations in Indonesia's commercial fishing industry and an ARC Linkage Project on trade union responses to gender-based violence in Cambodia's construction industry. In addition to her academic work, she has been involved in extensive consultancy work for the ILO, the international labour movement and the Australian government.

3. Evelyn Goh (Australian National University)

   Evelyn Goh is the Shedden Professor of Strategic Policy Studies at the Australian National University, where she is also Research Director at the Strategic & Defence Studies Centre. She has published widely on U.S.-China relations and diplomatic history, regional security order in East Asia, Southeast Asian strategies towards great powers, and environmental security. These include The Struggle for Order: Hegemony, Hierarchy and Transition in Post-Cold War East Asia (Oxford University Press, 2013); 'Great Powers and Hierarchical Order in Southeast Asia: Analyzing Regional Security Strategies', International Security 32:3 (Winter 2007/8):113-57; and Constructing the US Rapprochement with China, 1961-1974 (Cambridge University Press, 2004). Her most recent edited volume is Rising China's Influence in Developing Asia (Oxford University Press, 2016), and her latest book (co-authored with Barry Buzan) is Re-thinking Sino-Japanese Alienation: History Problems and Historical Opportunities (Oxford University Press, 2020).

Saw Swee Hock Southeast Asia Centre

She is the co-Managing Editor of the Cambridge Studies in International Relations book series, and serves on the Editorial Boards of various academic journals, including International Security, International Theory, Asian Security, and Journal of Global Security Studies.

4. Erik Harms (Yale)

Erik Harms is Professor of Anthropology and International & Area Studies at Yale University, specializing in urban anthropology with a focus on Southeast Asia and Vietnam. He is the Chair of the Yale Council on Southeast Asia Studies (CSEAS)(link is external), and currently serves as Acting Chair in the Department of Anthropology (Fall Semester, 2024).

At Yale, Professor Harms teaches a mix of introductory lectures and advanced seminars on a range of topics that mix area-specific courses on Vietnam and Southeast Asia with more theory-driven courses in anthropology, ethnography, and urban studies. Harms also teaches and advises PhD students who run Yale Anthropology's Ethnography and Social Theory Colloquium(link is external). In 2021, he was awarded the Lex Hixon '63 Prize for Teaching Excellence in the Social Sciences at Yale College. He also served as Director of Graduate Studies in the Department of Anthropology.

Professor Harms is the large section representative on the Section Assembly Executive Committee (SAEC) of the American Anthropological Association (AAA), and a member of the AAA Executive Board. He served as the president of the Association for Political and Legal Anthropology (APLA) from 2017-2019, was a member of the Southeast Asia Council of the Association for Asian Studies (SEAC), and is on the Editorial Board for numerous academic journals.

5. Thomas Pepinsky (Cornell)

Thomas Pepinsky is the Walter F. LaFeber Professor of Government and Public Policy, and Nonresident Senior Fellow at the Brooking Institution. He studies comparative politics and political economy, with a special focus on Southeast Asia. He received his Ph.D. in political science from Yale University in May 2007, and joined the Cornell faculty in 2008.

He studies the interaction of political and economic systems around the world. Recently, he has been thinking about how social categories interact with these systems. He is also interested in how we construct explanations and make inferences in the social sciences. His current research interests involve the politics and political economy of democratic backsliding in Southeast Asia and Europe, and the evolution of ethnicity and other social categories in the Malay world.

6. Mark Thompson (City University of Hong Kong)

Mark Thompson is chair professor in the Department of Public and International Affairs and director of the Southeast Asia Research Centre, City University of Hong Kong. His current research focuses on pushback against democratic backsliding, authoritarian nostalgia, presidentialism, and women dynastic leaders, with a regional focus on East Asia broadly conceived (Northeast and Southeast Asia). He is the author or editor of 11 books – most recently The Philippines: From "People Power" to Democratic Backsliding (Cambridge University Press, 2023) - and has published over 200 articles and book chapters. He is the co-editor of the Routledge/City University of Hong Kong Southeast Asia Series. His research has

been funded through external grants worth over one million USD, with five awarded by the Hong Kong Research Grants Council General Research Fund (GRF). He was listed in the Stanford/Elsevier list of the world's top two percent most-cited scientists worldwide in the subfield of "Political Science & Public Administration"; according to Google Scholar his work has been cited over 4,000 times with an H-index of 33. His research has been featured in the popular media (e.g., Time Magazine, The Washington Post, Le Monde, CNBC, RTHK and Wired Magazine, etc.). He lends his expertise to government, private, and non-profit organizations. After teaching at several universities in Germany and the UK, he came to the City University of Hong Kong in 2010 where he has been director of the Southeast Asia Research Centre since 2011 and was head of the Department of Asian and International Studies 2015-2022. A past president of the Hong Kong Political Science Association and the Asian Political and International Studies Association, he was Lee Kong Chian Distinguished Fellow for Southeast Asian Studies at the National University of Singapore (2008) and Stanford University (2009) as well as was a visiting fellow at the Center for Southeast Asian Studies (CSEAS), Kyoto University in winter/spring 2024. He received his BA from Brown University, an MA from Cambridge University, and his PhD in political science from Yale University where he was mentored by Juan J. Linz and James C. Scott.

7. Adam Tyson (Leeds)

Adam Tyson is Associate Professor of Southeast Asian Politics at the University of Leeds. He joined the School of Politics and International Studies in 2011 after working for universities in Canada, Indonesia and Malaysia. Drawing on his international experience, he is currently involved in a number of interdisciplinary research projects with colleagues in the UK as well as the Asia Pacific, and he is responsible for the POLIS internationalisation agenda that builds research and education links with partners overseas.

His primary research agenda is to investigate the ways in which political actors test the limits of the permissible in both democratic and non-democratic settings. He is interested in the subvarieties of contentious politics, and his publications are based on empirical field research in countries such as democratic Indonesia and autocratic China. In recent years he has applied this research agenda to such diverse topics as the visual arts, ethnic conflicts and vigilantism, land claims and political ecology, and blasphemy and the sacred sphere.

His research is collaborative and interdisciplinary. Since 2004 he has studied processes of political transition in Indonesia, the third largest democracy (and fourth most populous country) in the world. His research focuses on the unintended consequences that have arisen in Indonesia since the transition to democracy in 1998. He is interested in the ways in which liberal reforms produced illiberal outcomes in newly decentralised Indonesia, based on comparative evidence of ethnic and religious revivalism. In addition, his research considers why democracy complicates efforts to achieve environmental sustainability and development pledges in Indonesia and Malaysia.

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Meeting and date	Research Committee, 09 October 2024
Title of paper	Governance of Research Units
Decision or Information item	Decision
Purpose of paper	An update of the Governance of Research document held on the LSE website. The document has been retitled Governance of Research Units, and information has been added regarding Institutes and Divisional Support. Proposal and report forms have been removed from the document, and will be uploaded to the Divisional website. Please note that this is not the final formatting.
Outcome requested	The Committee is asked to approve the document to be passed to Academic Board.
Restricted business	No
Author	Casimira Headley-Walker
Sponsor (if relevant)	None
Previous consultation	

1   Contents

1   Summary

1.1 Organisational Context

1.1.1   The founding Articles of Association establishes that the Object of the School is 'To organize, promote and assist research and the advancement of science and learning in the various branches of knowledge dealt with by the institution.' (Article 3(A) (II)). The means by which the School pursues this Object are set out in its various strategies and policies for research, knowledge exchange and impact.

1.1.2   This Policy defines the governance of research at the School. Governance in this context is taken to mean the processes by which the School corporate ensures the effective management of research, either by the individual member of staff, or by an organisational entity. Research is taken to include knowledge exchange and impact.

1.2 Organisational Entities

1.2.1   There are three major distinct organisational entities where academic activity is carried out in the School:

1.2.1.1.1   Departments: the central loci of teaching, research and permanent faculty appointments.

1.2.1.1.2   Research Centres: specialist research initiatives operating under Research Committee supervision. They require support from multiple departments and will act for the benefit of the School as a whole, though have a nominated affiliated department for administrative purposes. In varying degrees, Centres can also, or may primarily, take on knowledge exchange or non-academic engagement functions, linked to research by LSE faculty. Research Centres can run executive education or short course teaching programmes. They do not make permanent faculty appointments.

1.2.1.1.3   Institutes: inter-disciplinary units that bring together faculty members from multiple Departments (and Centres) for multi-functional programmes of research, teaching and non-academic engagement. They do not make permanent faculty appointments.

2.   For historical or other reasons, the name of an organisational unit may not correspond to its formal status within the School's governance framework. Thus, for example, the Grantham Research Institute on Climate Change and the Environment carries the status of Research Centre within the School's governance framework, and some DRUs may continue to carry the name, 'Centre of…' or '…Observatory'. Throughout this document, reference to Department, Research Centre, Institute or inter-/Departmental Research Unit relates to the status of the organisational entity, not the name of the entity.

3.   Departments are the central loci for research in a number of ways:

- Every member of the career-track academic staff and every research student is affiliated to a Department or Departments, through which they receive support and are managed.
- The School funds its activities primarily at the level of the Department.
- National research evaluation submissions are developed in the main around disciplines, and Departments are to the greater part accountable for performance in these evaluations.

1.3 Research by Individuals

1.3.1   The School's research is conducted by individuals contracted for the express purpose, whether by employment contract or by other association intended and recognised for research purposes (e.g. visiting or affiliate status).

1.3.2   Individuals conducting research and generating impact on behalf of the School are subject to the School's research policies and guidelines, which may vary from time to time. These include (but are not limited to) the Research Ethics Policy[1], the Code of Research Conduct[2] and the Principles of Authorship[3] . Staff conducting research on behalf of the School are protected by the statutory principles of academic freedom set out in the 1988 Education Reform Act and subsequent legislation.

1.3.3   The research performance of individual staff is subject to the School's management and related processes which vary from time to time, including Review and Promotion procedures.

1.4 Research within organisational entities
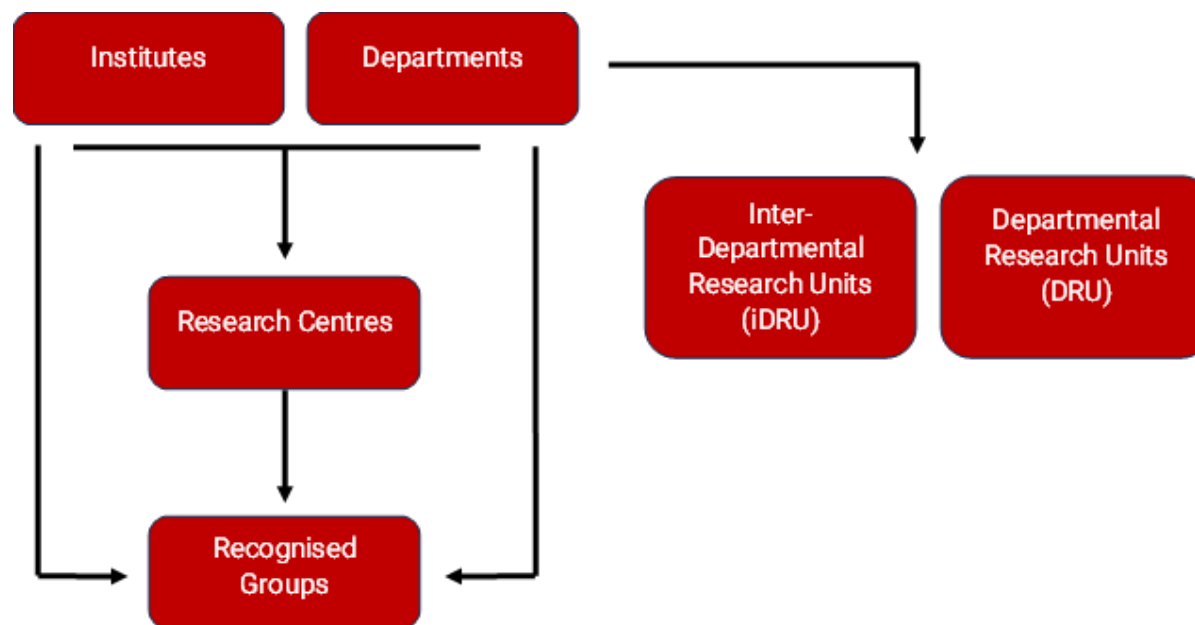
Departments

1.4.1   The School's Research Committee has a joint responsibility, along with APRC and ASC, for reviews of Departments. A member of the School's Research Committee assists with each Departmental review with a view to assessing the research contribution and research and KEI/non-academic engagement strategy (including for research students) of Departments. Reports from each Departmental Review will be considered by Research Committee.

Research Centres

The School's Research Committee is responsible for the review of Research Centres, and for recommending the establishment and termination of Research Centres. Procedures and further information can be found in Section 4

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[1] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/resEthPolPro.pdf

[2] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/codResCon.pdf

[3] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/priOfAut.pdf

Institutes

1.4.2   Institutes are reviewed by the Research Committee, as part of the same review cycle as Research Centres.

Other research entities

1.4.3   The School supports collaborative research and seeks to encourage the development of research groups where these enhance the quality of the School's research and knowledge engagement activities and where they provide a focus for fund-raising. Research groups meeting these criteria will be supported in the School by the recognition of their names and identities, the provision of space on the School's website and, in some cases, the allocation of resource.

1.4.4   Three such entities exist within the School: Departmental Research Units (DRUs), inter-Departmental Research Units (iDRUs) and Recognised Groups.

Departmental and inter-Departmental Research Units

1.4.5   Typically, Departmental Research Units (DRUs) or inter-Departmental research units (iDRUs) will be mid-sized entities that fall between the existing categories of Research Centres and individual researcher. Although size alone will not be a defining factor, DRUs and iDRUs should consist of a programme(s) of research that is more than a project undertaken by a sole researcher. Whilst there is no prescribed timescale for the duration of a research programme(s) within a DRU or iDRU, it would be expected that a programme(s) has a duration of at least three years, typically with an annual research income of at least £100k. Members of DRUs or iDRUs can be drawn from different Departments. A DRU will normally be hosted within a single Department. An iDRU will be hosted by two or more Departments, usually on a rotating basis subject to approval by the Pro Vice Chancellor Research (PVCR). The 'lead administrative Unit' for governance and financial purposes should normally be that of the first iDRU Director.

1.4.6   Departmental Research Units and inter-Departmental Research Units will be recommended and reviewed by Departments, subject to approval by and oversight of the School's Research Committee.

Recognised Groups

1.4.7   Recognised Groups are research groups, networks, projects, commissions or other research or research-related activities operating within or across one or more Departments, Institutes or Research Centres, which have a continuing programme of events or activities or produce publications which are ascribed to the entity, but which do not have the status of a DRU or iDRU.

1.4.8   Recognised Groups will be recommended and reviewed by Departments, Research Centres or Institutes (as appropriate), subject to approval by and oversight of the School's Research Committee.

1.5 Summary of responsibilities, accountabilities and benefits

1.5.1   Departments, Institutes, Research Centres and DRUs/iDRUs are eligible for the award of Research Investment Funding (RIF) in accordance with the terms of the scheme. Recognised Groups have no RIF entitlement.

1.5.2   Departments, Institutes and Research Centres are eligible for the allocation of School space dedicated to the unit, with actual space allocation according to the

norms established for the purpose by the School Management Committee. DRUs/iDRUs and Recognised Groups do not normally have a separate space entitlement and are accommodated within their host unit's allocation.

1.5.3   Departments, Institutes, Research Centres, DRUs/iDRUs and Recognised Groups are eligible for a presence on the School's website. No other research group is formally recognised by the School.

Entity	Accountability	Benefit
Department	APRC and Research Committee	Space, RIF funding, website presence
Research Centre	Research Committee	Space, RIF funding, website presence
Institute	APRC and Research Committee	Space, RIF funding (in limited circumstances) website presence
Departmental Research Unit or inter-Departmental Research Unit	Department (with report to School Research Committee)	Share of RIF funding, website presence
Recognised Group	Department/Research Centre/Institute (with report to School Research Committee)	Website presence

1.5.4   Those responsible for managing any academic unit in the School must adhere to the following six core principles:

(a) transparency and accountability;
(b) clarity of functions and roles;
(c) adherence to the highest standards of integrity and School-wide values;
(d) clear decision-making frameworks;
(e) clear authority and powers of delegation;
(f) collegiality.

All members of the School must abide by the School's Ethics Code[4] and associated policies and procedures. An overview of relevant School-wide policies in relation to good conduct of research can be found on the School's Research Integrity web page[5].

1.6 Changes to this Policy

1.6.1   Research Committee will recommend to Academic Board for approval any changes it thinks are necessary to this policy and its annexes.

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[4] https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Ethics/Ethics-Code
[5] https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Research-integrity-at-LSE; See also: UUK Concordat to Support Research Integrity: https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2019/the-concordat-to-support-research-integrity.pdf

2 Processes

2.1 Memoranda of Understanding

2.1.1 In the course of work within a Recognised Group, DRU/iDRU, Research Centre or Institute, an agreement may be made to work with an external organisation. In this case, a Memorandum of Understanding (MOU) may be required.

2.1.2 MOUs can only be signed by authorised signatories within the LSE. If one is required, please contact the Research Due Diligence Manager and the Research Contracts team for guidance[6].

2.2 Support

2.2.1 Support for all researchers and research staff is provided by the Research and Innovation division. A table showing which staff support which units can be found here: https://info.lse.ac.uk/staff/divisions/research-and-innovation/Team

2.2.2 All applications (for grants) should go through the relevant Research Development Manager as identified in 2.2.1 above.

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[6] RI.Security@lse.ac.uk

3 Institutes

3.1 Establishment of Institutes

3.1.1 An institute is a structure which provides a coordinated focus for undergraduate and postgraduate teaching, and research, in social science subjects of contemporary relevance that cannot be approached from the standpoint of a single academic discipline or by simple interdisciplinary cooperation between departments. They will have significant levels of funding, and will operate on a level equivalent to a department. They are expected to have an externally facing profile.

3.1.2 Institutes will ordinarily have the formal support of at least three Departments (as indicated by the Head of Department or by agreement at a Departmental Meeting), but APRC and Academic Board can also receive and review proposals that have the support and active buy-in of a substantial body of faculty members from across the School.

3.1.3 Institutes should demonstrate how they will provide a net benefit to the mission of the LSE. Additionality can take several forms: better coordination of existing activities; significant new external funding supporting the distinctive agendas of the Institute in question; more efficient use of shared services; new research or teaching agendas that go beyond (and need to go beyond) inter-Departmental initiatives; upgrading of the internal LSE research environment, for example by acting as occasional hosts or sponsors of inter-Departmental seminars and workshops; enhancing the overall reputation of the School, etc. In all cases, the underlying intellectual case for an Institute will explain why such activities cannot be accommodated within existing School units or inter-departmental activities.

3.1.4 Institutes should demonstrate that their activities will be of a quality that is comparable with the major activities of existing LSE Departments and Research Centres, and that they will comply with appropriate LSE quality assurance mechanisms.

3.1.5 Proposals to develop an Institute should be submitted using the standard form. Proposals will need to establish:

3.1.5.1.1 How the mission of the School will be positively enhanced by the establishment of the proposed Institute. This may include specific attention to:
- how the Institute will produce research of high quality and how this work might have impact;
- how key teaching activities will contribute to LSE's educational mission;
- how the Institute will advance the LSE's public engagement;
- how the Institute will enhance recognition of the LSE and its work.

3.1.5.1.2 Proposals should set out possible or anticipated conflicts with existing School activities, if any. Concerted opposition to a proposal from an existing School unit (as revealed, for example, at the Forums of Department Heads and Research Centre Directors) should be noted and addressed.

3.1.5.1.3 Proposals will further
- indicate and justify other key functions of the Institute and their likely staffing complement.
- indicate the qualities and competencies required of an Institute Director.
- provide evidence of widespread consultation with all members of the academic community who may have an interest in the proposed initiative. The consultation can include School bodies (such as the Department Heads Forum) but will go beyond them to reach individuals. Details of who has been consulted and their responses should be listed on the application form.
- provide a plausible budget plan for a five year period (to be developed with Finance Division and to be reviewed by APRC).

3.1.6   Proposals will also complete the Major Academic Initiatives process (whereby a checklist is used to ensure all Service Areas have been consulted regarding the potential impact of new developments).

3.2 Governance of Institutes

3.2.1   As for Heads of Departments, Institute Directors will ultimately be responsible to the School's Director, with the Provost as the Director's nominated deputy.

3.2.2   Institutes will have clearly developed governance structures, normally including

3.2.2.1.1   an Executive Committee formed of major contributors to the Institute's activities;

3.2.2.1.2   a Management Committee chaired by a Pro-Director and including senior faculty from those Departments that are most obviously involved in the Institute's activities.

3.2.3   Institutes may establish an Advisory Board comprising alumni, donors and professionals with relevant experience to provide guidance and support. The appointment of members to the Advisory Board will require oversight from the Management Committee.Management of Institutes

3.2.4   Each Institute will normally have a single Director appointed by the Director of the School for a period of 5 years. The Institute Director will normally have a joint appointment: 0.5 FTE in the Institute and 0.5 FTE in their home Department.

3.2.5   Institute Directors will ordinarily be proposed for appointment by the Director following a selection process that - where appropriate, and bearing in mind the School-wide function of Institutes - can involve HoDs or other representatives from closely linked Departments or Research Centres. Exceptionally, Directors can be single nominations.

3.2.6   The Institute Director may recommend the appointment of non-recurrent research and visiting staff according to standard School recruitment and appointment procedures. Where Institutes are linked to key supporting Departments – as opposed to groups of individuals across the School – Department Heads might be invited to participate in appointment and monitoring procedures.

3.2.7   There will be no permanent academic appointments to an Institute. With the permission of their Head, academics in Departments and Research Centres can contribute to research and teaching in an Institute. The funding of such teaching will be based on the transfer of resources from the Institute to the relevant Department.

3.2.8   The Steering Committee will be chaired by the Institute Director and will be formed from the senior academic and research staff attached to the Institute and the Institute Manager. The Heads of Departments closely connected to the Institute may be members of the Steering Committee, or choose to send a representative. External membership is restricted to academic staff collaborating on the Institute's projects or programmes and may attend meetings at the invitation of the Director. External representation from funding bodies on the Management Committee is prohibited to safeguard - and to be seen to safeguard - the independence of the Institute's programmes. External representation from funders, research users and other external non-academic bodies is welcomed on the Advisory Board subject to the Guidance on Terms of Reference on Advisory Boards as set out [here]

3.2.9   The Steering Committee is responsible for management of the Institute including setting academic priorities and organizing the activities of the Institute; overseeing the budget; overseeing human resource matters; for receiving the Director's reports; advising the Research Committee on the succession of the Institute Director; and reporting to both the Institute's Advisory Board and the School's Research Committee.

3.3 Review of Institutes

3.4 Institutes are reviewed every four years, in line with the review process for Research Centres. The Education Committee will be represented at the review. Otherwise, the review will follow the scheme laid out in 4.4.

3.5 Ethical Oversight by Institutes

3.5.1   Institutes are responsible for ensuring that researchers (whether staff or students) within their units are aware of their responsibilities vis a vis the Research Ethics Policy, and that they are familiar with the School's research ethics guidance and resources[7].

3.5.2   Institutes should ensure that researchers within their units have undertaken appropriate training, or to have relevant experience, in order to evaluate the ethical implications of the research they plan to undertake, and that, where required, ethics approval is obtained before the commencement of any data collection activities.

3.5.3   In addition, Institutes have a responsibility to periodically monitor the ethics submissions from researchers within their units. In accordance with §48 of the Research Ethics Policy, Institutes should periodically check that ethics applications submitted by researchers in their units have undergone review/approval by the appropriate person. All Institutes have a nominated 'faculty ethics approver' whose role is to review/approve ethics applications submitted by staff within their units where the application has been categorised as 'Departmental review'[8]. A list of faculty ethics approvers is available here[9]. (Applications requiring review/approval by the Research Ethics Committee are automatically submitted to the REC for review.)

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[7] https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/research-ethics/research-ethics
[8] For reasons of simplicity the term 'Departmental' is used here to encompass research Centres and Institutes .
[9] Any changes should be reported to the Research Ethics Managers via research.ethics@lse.ac.uk

4   Research Centres

4.1 Establishment of Research Centres

4.1.1   Research Centres exist to manage and promote a coherent programme of research and to foster knowledge exchange and the public dissemination of research. They are often, but not always, interdisciplinary by nature, and must be cross-departmental. Research Centres normally have substantial levels of external funding and can employ a significant number of research staff. They are also expected to have an externally facing profile, adding value to the School beyond the work carried out in Departments.

4.1.2   Research Committee is responsible for the initial assessment of proposals to establish new Research Centres, where applicable in accordance with the APRC procedures for approving Major Academic Initiatives. The Committee will assess both the intellectual and financial viability of new proposals, and the plans for the production of high quality, inter-disciplinary research that has a clear and impactful agenda. Based on its assessment of a proposal, the Research Committee can recommend to the Academic Board, for endorsement, and to the Council/Director, for approval, the establishment of a new Research Centre, in line with the Scheme of Delegation[10].

4.1.3   While a Major Academic Initiative Process should be carried out before a Centre is applied for, approval does not mean that a Centre has been approved. The process looks only at resource implications, not the viability of a centre.

4.1.4   Proposals will be evaluated against the following criteria:
- the value of the research programme and knowledge exchange/engagement and impact activities to the School and the wider scholarly community;
- the need for a distinct organizational unit to manage the research programme or research-related activity outside a Department, and/or the need for a distinct organizational identity and brand;
- financial sustainability. Within the context of the School's Research Grants Policy[11] and the distribution of overhead income, Research Centres are expected to be financially sustainable through research funding, without recourse to non-research funding such as executive education in order to meet the minimum funding requirement.

4.1.5   A proposal for a Research Centre should normally carry the support of at least two Heads of Department and confirm there is broad departmental support. In addition, the proposer(s) should demonstrate that they have consulted those Departments or Research Centres that may have a material interest in the proposal. Centres are normally required to name a single Department to be its main affiliated Department, though Centres are often interdisciplinary and/or involve academic and research staff from more than one Department. All proposals must use the template[12] held on the website.

4.1.6   Centres proposed in the context of a competitive, peer-reviewed application process (e.g. ESRC Centres or Leverhulme Centres) approved through the Major Academic Initiatives process will be required to submit only the grant application and any additional information required at the discretion of the Chair of the Research Committee.

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[10] https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Governance/Council/Scheme-of-Delegation-Approved-Nov-2019.pdf
[11] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/resGra.pdf
[12]

4.1.7   A Centre is expected to have an anticipated lifespan, after which the work of the Centre will end. Discussion of how long the Centre is expected to last should be included in the application.

4.2 Governance of Research Centres

4.2.1   Except where explicitly provided otherwise by Research Committee, all Research Centres will be accountable to Research Committee for the quality of their research output and their knowledge engagement and impact activities. However, because the activities of Centres and their research staff can impact on Departments' REF returns and their teaching arrangements, Heads of Department from the relevant affiliated department have the following role with respect to Centres:

- As a member of the Centre's Management Committee (see below).
- Approval of the appointment or promotion of research staff in the Centre.
- Approval of grant applications for projects to be run through the Centre for which the Principal Investigator is a member of the Department's faculty and is seeking buyout from Departmental responsibilities.

These approvals are not to be withheld unreasonably. The PVCR will have authority to over-rule the Head of Department in exceptional circumstances and in the interests of the School as a whole.

4.2.2   All Research Centres must have an Advisory Board that meets regularly and has a majority of members from outside the Centre. In addition, each Centre should have a Management Committee.

4.2.3   The Advisory Board exists to provide the Centre Director and members of the Management Committee with an external perspective. The Advisory Board will be chaired by a member external to the School and will in addition comprise members selected for their ability to provide the benefit of their expertise as commissioners or users of research and/or as fundraisers and ensure that there is appropriate diversity of representation on the Board in line with the School's policies on equality, diversity and inclusivity. Advisory Boards are subject to the School's Ethics Code and associated policies and procedures. The Centre Director or his or her representative must attend all meetings of the Advisory Board; other key members of the Management Team or Committee will normally attend at least one meeting of the Board each year. The Advisory Board will provide the forum in which the legitimate interests of the funders of Centre research are represented and will consider issues of strategy and policy. Template Terms of Reference for the Advisory Board are available on the website[13].

4.2.4   Research Centre Directors must be appointed in discussion with Pro-Director for Planning and Resources, and must receive an appointment letter from them.

4.3 Management of Research Centres

4.3.1   Each Centre should normally have a single Director. A case for joint directorship can be approved by Research Committee exceptionally and on a case-by-case basis. The role of the Centre Director is to provide academic and intellectual leadership and to be responsible for the effective management of the Centre. The Centre Director is responsible for the research funds held within the Centre as a whole. Individual grant-holders are responsible for the conduct of funded research projects and programmes.

4.3.2   The Management Committee will be chaired by the Centre Director and will be formed from the academic and research staff attached to the Centre and the Centre Manager. The Head of the Department or Departments to which the Centre is affiliated will be members of the Committee ex-officio, and each must send a

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[13] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/schAdvBoa.pdf

representative to attend meetings of the Committee. Representatives of other interested Departments should also attend. External members of the Centre are restricted to academic staff collaborating on the Centre's research projects or programmes and may attend meetings at the invitation of the Centre Director. External representation from funding bodies on the Management Committee is prohibited to safeguard - and to be seen to safeguard - the independence of the Centre's research programmes. External representation from funders, research users and other external non-academic bodies is welcomed on the Advisory Board subject to the Guidance on Terms of Reference on Advisory Boards as set out [here]

4.3.3   The Management Committee is responsible for management of the Centre including setting academic priorities and organizing the activities of the Centre; overseeing the budget; overseeing human resource matters; for receiving the Director's reports; advising the Research Committee on the succession of the Centre Director; and reporting to both the Centre's Advisory Board and the School's Research Committee.

4.4 Review of Research Centres

4.4.1   Research Committee is responsible for undertaking formal reviews of all Research Centres every four years. The primary purpose of the Review is to assist the development of the Centre, in terms of its strategy and goals, and identify potential improvements. Centres are also asked to provide annual financial reports, in order to identify any imminent issues.

4.4.2   Reviews are are timed, as far as possible, to coincide with the life cycle of a Centre's main source of external funding (e.g. the five-year ESRC review). Reviews aim to establish whether a Centre has the intellectual and financial means to merit continued existence. Assessment will be made and judgements formed according to the terms of the establishment, the mission and the strategy of the Centre, as approved by Research Committee. Centre Directors and the Head of the affiliated Department(s) will be asked to nominate a short list of appropriate external assessors, from which two will be selected by Research Committee. A core set of data is produced centrally.

4.4.3   In the Review, Centres are asked to confirm the data and to provide a qualitative commentary (including raising any issues) on 8 key areas:
- Future strategic direction
- Quality of research and publishing strategy
- Knowledge exchange and impact
- Internal and external collaboration
- Financial viability
- Research culture
- Research and KEI governance, integrity and ethics
- Succession planning

4.4.4   Reviews are conducted by a small review team led by the PVCR and comprising the Director of the Research & Innovation Division, one member of the Research Committee and the two selected external assessors. They may also involve others within the School. Centre Directors and Centre Managers meet with the review group to discuss any issues raised in the quantitative data and qualitative commentary. The review group will also meet with centre staff during the Review to discuss their perceptions on career development, research culture and expectations within the Centre. A report from the review group is discussed at a meeting of the

Research Committee, with the Chair highlighting any issues discussed previously with the Centre Director. Centre Directors are invited to attend Research Committee to make a short presentation on the future directions of the Centre and to discuss any issues raised by the Committee.

4.4.5   The HOD of the affiliated department should receive the completed review pro-forma and data for comment prior to the review, and the completed review report. The review team may hold a separate meeting with the Head of the Department to which the Centre is affiliated to discuss the Centre's activities and relationship with the Department. If necessary, a joint meeting between the HOD, Centre Director and members of the review team may be arranged.

4.4.6   Research Committee retains the ability to undertake a Review at any other period as it sees fit should it have concerns about the ability of the Centre to meet its objectives. Research Committee will recommend to Academic Board and Council the closure of a Research Centre when it no longer meets the criteria set out in section 4.1.4 above and is not satisfied that the Centre has a viable recovery plan. When recommending the closure of a Centre, Research Committee will also recommend an 'exit plan'. Such a plan may include the transition of the Centre to a Departmental Research Unit or a Recognised Group within a Department over a defined period. Subject to the approval of the Research Committee and the Department to which the Centre transitions, Centres should be permitted to retain their name notwithstanding such a change in status in order to maintain their external profile.

4.4.7   Research Committee will decide on the basis of the Review whether:

i)   to approve the continuation of the Centre for a determined period (normally four years);
ii)   to approve the continuation of the Centre for a determined period (normally four years) subject to any specified conditions;
iii) to recommend to Academic Board and Council the closure of the Centre and an exit plan;
iv)   to make any other recommendations that it deems to be appropriate.

4.5 Ethical Oversight by Research Centres

4.5.1   Research Centres are responsible for ensuring that researchers (whether staff or students) within their units are aware of their responsibilities vis a vis the Research Ethics Policy, and that they are familiar with the School's research ethics guidance and resources[14].

4.5.2   Centres should ensure that researchers within their units have undertaken appropriate training, or to have relevant experience, in order to evaluate the ethical implications of the research they plan to undertake, and that, where required, ethics approval is obtained before the commencement of any data collection activities.

4.5.3   In addition, Research Centres have a responsibility to periodically monitor the ethics submissions from researchers within their units. In accordance with §48 of the Research Ethics Policy, Centres should periodically check that ethics applications submitted by researchers in their units have undergone review/approval by the appropriate person. All Departments/ Centres/Institutes have a nominated 'faculty ethics approver' whose role is to review/approve ethics applications submitted by staff within their units where the application has been categorised as 'Departmental

[14] https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/research-ethics/research-ethics

review'[15]. A list of faculty ethics approvers is available here[16]. (Applications requiring review/approval by the Research Ethics Committee are automatically submitted to the REC for review.)

4.6 Succession Planning

4.6.1   All Research Centres must have a written procedure for replacing their Director after a certain period of time. The procedures should specify the length of time a Director will serve before the appointment is reviewed; it is suggested that four years is an appropriate initial period.

4.7 ESRC Research Centres

4.7.1   Applications for a Centre to be funded by an external grant funding body, such as ESRC or Leverhulme, will be subject to the demand management process organised by the Research and Innovation Division. Applications to these bodies must be approved by the Division and by the PVC Research.

4.7.2   As they have already undergone the demand management process, these Centres are only required to submit the grant application to the Research Committee.

4.7.3   The Research Committee will generally conduct a review of ESRC funded centres following their ESRC review. ESRC and other Research Centres in receipt of external core funding from a Research Council or other competitive grant funding body are not asked to nominate any external assessors if (as with ESRC) the Centre has already been assessed externally. Nor are they required to complete the standard template for Reviews if (as with ESRC) they have external review reports. In addition to any external review reports, they should submit a short note on the future direction of the Centre, a report on the Centre's relationship to the wider activities of the School including what value-added the Centre brings to the School, and details of any funding (proposed or secured) for the Centre.

4.7.4   Centres which have been funded by ESRC may be awarded legacy centre status after this funding ends. This funding will not usually enable them to continue as a Research Centre, and they will be given DRU status.

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[15] For reasons of simplicity the term 'Departmental' is used here to encompass Research Centres and Institutes .
[16] Any changes should be reported to the Research Ethics Managers via research.ethics@lse.ac.uk.

5 Departmental Research Units and inter-Departmental Research Units

5.1 Establishment of Departmental or inter-Departmental Research Units

5.1.1 Unless the establishment of the DRU or iDRU follows the recommendation of Research Committee following the Review of a Research Centre, the establishment of a DRU or iDRU is by formal application from the relevant Head(s) of Department(s) to Research Committee.

5.1.2 The HOD (or HODs of the relevant Departments involved in the case of an iDRU) will need to make a clear and strong case to Research Committee indicating the benefits of a project or group of projects becoming a DRU or iDRU. They will be expected to show that becoming a DRU or iDRU will promote the success of research activity within the unit, and may attract academic involvement from across the School as well as other forms of external interest and possible collaboration. The application should provide evidence that DRU or iDRU designation will enhance the visibility of the research programme, increase the possibility of future funding, and assist with sustainability.

5.1.3 The HOD(s) should note the anticipated duration of the DRU or iDRU, which is expected to be at least three years depending on the duration of the proposed unit's main source of funding.

5.1.4 In addition, in the case of iDRUs, the HODs of the Departments involved should have agreed an MOU detailing the structure of the management committee, and arrangements relating to responsibilities for administrative support, agreements relating to budgets and financial controls including apportionment of RIF funding and other matters relating to the governance and operation of the iDRU which the Research Committee may require.

5.1.5 To initiate a request for DRU or iDRU status the Head(s) of Department should submit an application to Research Committee using the form on the website[17].

5.1.6 A DRU is expected to have a finite lifespan. It is not expected to last longer than ten years.

5.2 Review of Departmental and inter-Departmental Research Units

5.2.1 DRUs and iDRUs are subject to annual reviews by their home departments. In the case of iDRUs, other affiliated departments should also be consulted.

5.2.2 Research Committee has oversight of the review process.

5.3 Management of Departmental and inter-Departmental Research Units

5.3.1 It will be at the discretion of Research Committee whether a Department should be advised to set up a formal executive Management Committee for a DRU, though this will normally be required in the case of an iDRU. The decision will be based on the size/funding/complexity of the entity, and wider membership formed from staff directly associated with the unit.

5.3.2 A DRU will likely be required to set up a Management Committee in cases where one or more criteria are applicable:
- The DRU has more than two members of staff attached to it;
- The funding grant amount for the DRU exceeds £250,000 per year;
- The period of funding secured for the work of the DRU is over 5 years;

17

- Setting up a Management Committee is a requirement from an external funding body.

5.3.3   Where constituted, the Management Committee should meet at least once a year and may determine its own quorum. Members of the Management Committee must have adequate notice of meetings, agendas and papers.

5.4 Closure of Departmental or inter-Departmental Research Units

5.4.1   Research Committee can require the closure of a DRU or iDRU if it is failing to meet its objectives or the conditions for the creation of a DRU or iDRU. It may recommend that it continues as a Recognised Group.

5.4.2   Departments can propose the closure of a DRU/iDRU to the Research Committee, having previously consulted all relevant individuals involved with the DRU/iDRU. Research Committee may request a report on who exactly has been consulted if it deems this necessary.

6   Recognised Groups

6.1   Approving Recognised Groups

6.1.1   Requests to establish a Recognised Group must be supported by the head of the parent unit, and endorsed by Research Committee. An application form can be found here[18].

6.2   Accountability for Recognised Groups

6.2.1   The Department, Institute or Centre in which the Recognised Group is registered is responsible for its activities and for taking any actions necessary to ensure that the Group meets the Department, Institute or Centre's strategy and objectives, including terminating any Recognised Group. The academic unit should include a report on the Recognised Group's activities in its normal reporting (i.e. in Departmental reviews in the case of Departments, and to Research Committee in the case of Research Centres and Institutes) and must promptly notify Research Committee of any changes in the name or status of the Recognised Group.

6.2.2   Research Committee may review a Recognised Group if it is concerned that the Group is not achieving its objectives, or its activities are not of sufficiently high quality. Following such a review, Research Committee may require appropriate actions to be taken to address its concerns, potentially including the closure of the Recognised Group.

18

Annex A: List of Institutes (September 2024)

Institute	Centres and Recognised Groups
Data Science Institute	
Firoz Lalji Institute for Africa	Centre for Public Authority and International Development (CPAID)
	Centre for Women, Peace and Security
Global School of Sustainability	
International Inequalities Institute	India Observatory
Marshall Institute for Philanthropy and Social Entrepreneurship	

Annex B: List of Research Centres

Department	Research Centre
Department of Economics	Centre for Economic Performance (CEP)
	Centre for Macroeconomics
	International Growth Centre
	Suntory and Toyota International Centres for Economics and Related Disciplines (STICERD)
European Institute	Hellenic Observatory
Department of Finance	Financial Markets Research Group (FMG)
Department of Geography and Environment	Centre for Climate Change Economics and Policy
	Grantham Research Institute
	Saw Swee Hock Southeast Asia Centre (SEAC)
	Transition Pathway Initiative Global Climate Transition Centre (TPI Centre)
	What Works Centre for Local Economic Growth
Department of Health Policy	Care Policy and Evaluation Centre (CPEC)
	LSE Health
Department of International Relations	LSE IDEAS
	Middle East Centre
	Phelan United States Centre
Department of Philosophy	Centre for Philosophy of Natural and Social Sciences (CPNSS)
Department of Social Policy	Centre for Analysis of Social Exclusion (CASE)
Department of Sociology	LSE Cities

Annex C: List of Departmental Research Units and inter-Departmental Research Unit

Parent Department(s)	DRU/iDRU
Accounting	Centre for Analysis of Risk and Regulation
Government	Electoral Psychology Observatory
International Relations	International Trade Policy Unit
PBS	The Inclusion Initiative
School of Public Policy	The Growth Co-Lab at LSE
Social Policy	LSE-Fudan Research Centre for Global Public Policy
Anthropology, Methodology, International Relations and the Faith Centre	Religion and Global Society
Health Policy, International Development, PBS and Social Policy	LSE Global Health Initiative

Annex D: List of Recognised Groups

Parent Department/Centre	Recognised Group
Care Policy and Evaluation Centre	International Long-term Care Policy Network
	NIHR Policy Research Unit in Adult Social Care
	NIHR School for Social Care Research
CASE	LSE Housing and Communities
CEP	Centre for Vocational Education Research
Economic History	Financial History Group
European Institute	Contemporary Turkish Studies
Firoz Lalji Institute for Africa	Centre for Public Authority and International Development (CPAID)
	Centre for Women, Peace and Security
FMG	Paul Woolley Centre for Market Dysfunctionalities
	Systemic Risk Centre
Geography and Environment	Cañada Blanch Centre for Contemporary Spanish Studies
Geography and Environment	LSE London
Hellenic Observatory	LSEE: Research on South Eastern Europe
International Development	Ageing @ LSE
International Development	Population Investigation Committee
International Inequalities Institute	India Observatory
International Relations	European Foreign Policy Unit
Law	Criminal Law and Criminal Justice Theory Forum
	Law and Financial Markets Project
	Legal and Political Theory Forum
	Legal Biography Project
LSE Cities	Urban Age
LSE Health	African Health Observatory Platform (AHOP)
	European Observatory on Health Systems and Policies
	Global Surgery Policy Unit (GSPU)
	Medical Technology Research Group (MTRG)
LSE IDEAS	Conflict and Civicness Research Group
	South Asia Centre
Management	Behavioural Research Lab
	Innovation Co-Creation Lab
Media and Communications	Polis
Psychological and Behavioural Science	Behavioural Science Hub
Social Policy	Education Research Group
	Women in Public Policy Research Hub
	Mannheim Centre for Criminology
Sociology	LSE Human Rights

	Investment and Human Rights learning hub
	Laboratory for Advanced Research on the Global Economy

Meeting and date	Research Committee, 09 October 2024
Title of paper	Research Unit Working Group
Decision or Information item	Decision
Purpose of paper	To lay out plans for a new Research Unit Working Group.
Outcome requested	Committee is asked to approve the foundation and plan of action for the new Research Unit Working Group.
Restricted business	No
Author	Casimira Headley-Walker
Sponsor (if relevant)	None
Previous consultation	

Following the recent review of the Governance of Research Units document, it has become clear that a review of LSE's research units how they fit together and how they are governed is needed. In light of this, the new Associate Pro-Vice Chancellor (Research) Professor Michael Bruter is forming a working group to look at the current structure of research units within the School, and look at how these can be rationalised, and their research potential optimised. The working group will meet once or twice a term, and will make their recommendations to the 14 May 2025 Research Committee.

Prospective Membership
- Michael Bruter (Chair)
- Academic Membership
    o Research Centre Director Representative
    o DRU Head Representative
    o Recognised Group Head Representative
    o Research Committee Representative (not aligned with any research units)
    o Research Centre Staff representative
- PSS Membership
    o Grace McConnell (Deputy Director, Research and Innovation)
    o Catherine Cunningham (Research Awards Manager, Research and Innovation)
    o Centre Manager
    o Department Research Manager
    o PAGE Representative
    o Impact Representative

THE **LONDON SCHOOL**
OF **ECONOMICS** AND
POLITICAL SCIENCE

Meeting and date	Research Committee, 09 October 2024
Title of paper	KEISC Closure
Decision or Information item	Information
Purpose of paper	To lay out the reasons for the closure of KEISC, and the new KEI governance arrangements.
Outcome requested	Committee is asked to note and feed back on the new KEI governance arrangements.
Restricted business	No
Author	Casimira Headley-Walker
Sponsor (if relevant)	None
Previous consultation	

Research Committee

9 October 2024

Closure of KEISC

Background

Strategic responsibility for knowledge exchange and impact has been undertaken by a working group of Research Committee, originally named the KEI Strategy Group (KEISG) which was created in 2014. This was renamed the Knowledge Exchange Framework Strategy Committee in 2020 then renamed the Knowledge Exchange and Impact Strategy Committee in 2023. The Governance Officer, Secretary's Division, has confirmed that under the Research Committee's mode of operation, it is empowered to both create and close its own working groups.

In its current iteration, KEISC is responsible for overseeing the implementation of KEI priorities set out in the School's Research for the World (RftW) strategy. KEISC also oversees preparations for, and submissions to, the Knowledge Exchange Framework (KEF), the KE Concordat and the School's HEIF strategy. The full membership and terms of reference for KEISC are attached for information at Annex A. Note that the School's ESRC Impact Acceleration Account is also currently overseen by KEISC.

Rationale for closure of KEISC

The Pro-Vice Chancellor for Research (PVCR) and the Academic Director of Impact (ADI) have determined that the responsibilities currently discharged by KEISC could be better undertaken by other entities across the School. In doing so, this will signal that, in line with the Research for the World strategy, KEI should be integrated into the full research lifecycle and not treated as a separate endeavour.

Devolvement of KEI responsibilities

It is proposed that the specific responsibilities of KEISC would be transferred as follows:

- The ADI will become Co-I on the School's ESRC IAA grant (of which the PVCR is already PI). The IAA will henceforth be managed in the same way as any other grant and no longer be overseen by a committee. ESRC has confirmed that the management and internal governance of IAAs are devolved to IAA holders and does not require ESRC approval when there are changes to internal governance.
- The KEI Integrated Service will prepare submissions to the KE Framework, KE Concordat, and HEIF, with the PVCR and ADI having final approval.
- Annual HE-BCI returns will be signed off by the Director of Research & Innovation and the PVCR.
- HEIF Annual Monitoring Statements will be signed off by the ADI and PVCR.
- The HEIF Five Year Strategy and Accountability Statement will be approved by Research Committee.
- Professor Tony Travers will be invited to join Research Committee to represent Professors in Practice. Research Committee may also invite another member to represent the policy side.

- Other impact items which may have been considered by KEISC will become part of the impact workstream of the Research for the World strategy, or will be raised with Research Committee as needed.
- Research Committee reserves the right to create short term working groups to consider items, for example the HEIF Five Year Strategy.

Action required

Committee is asked to approve the closure of KEISC and the disbursement of its responsibilities as set out above.

RC/x Annex A

Knowledge Exchange and Impact Strategy Committee (KEISC) Membership and Terms of Reference 2023/24

The Knowledge Exchange and Impact Strategy Committee (KEISC) is responsible for overseeing the implementation of KEI priorities set out in the School's Research for the World (RftW) strategy. The committee also oversees preparations for, and submissions to, the Knowledge Exchange Framework (KEF), the KE Concordat and the School's HEIF strategy.

The work of KEISC is expected to benefit the LSE community as a whole, to whom it is also accountable. This should include helping to ensure that KEI is supported and implemented in line with the overarching aims of the Research for the World strategy and with the School's wider goals and priorities.

In pursuance of its aims, the KEISC has the following rights and responsibilities:

Strategy

(i) To advise the Pro Vice Chancellor Research (PVCR) on the design and strategic direction of the KEI-related workstreams of the Research for the World strategy, and oversee their implementation:
   o Recognising, rewarding and supporting impact
   o Building new strategic partnerships
   o Strengthening innovation and the entrepreneurial ecosystem
   o Enhancing civic engagement: Leading for London
   o Investing in open science
(ii) To encourage, facilitate and monitor knowledge exchange (of staff and students) and the impact of LSE research in line with the School's RftW strategy, and with the requirements of the KEF and KE Concordat.
(iii) To advise the PVCR and the SDI on the School's HEIF strategy and fund allocation, to effectively support the RftW strategy and for targeted assistance in support of KEF and KE Concordat preparations.

Compliance

(iv) To advise the PVCR and the Strategic Director for Innovation on the School's submissions to the KEF and the KE Concordat; to optimise the results of both and associated benefits accruing to the School, balancing these against the School's broader strategic priorities.
(v) To oversee the School's submission of HE-BCI Survey.
(vi) To comply with the School's Ethics Code and the Committee Effective Behaviour Statement.

Monitoring and evaluation

(vii) To oversee the monitoring and evaluation of the KEI-elements of the RftW strategy
(viii) To ensure that effective monitoring and evaluation of KEI activities, as they relate to mandatory submissions, to institutional grants and to HEIF-funded grants and initiatives are undertaken in support of the RftW strategy and to improve KEI practice across the School.
(ix) To suggest improvements to the School's mandatory KEI submissions, strategic plans and initiatives as needed

Mode of Operation

The KEFSC is a working group of Research Committee. It reports to Academic Board via Research Committee.

The Committee meets at least once per term.

Committee members are appointed by the Chair. They will normally be academic members of staff recognised as "experienced practitioners" based on their practical knowledge and expertise in knowledge exchange and impact. They will be expected to bring that experience to bear in fulfilling the rights and responsibilities outlined above. Appointed members will usually be expected to remain on the Committee for three years.

Ad hoc members may be invited to attend specific meetings where discussion is particularly relevant to them but will not be expected to be in regular attendance.

Membership

Ex-officio members:

Pro-Director Research, Professor Susana Mourato

Strategic Direction for Innovation, Professor Julia Black

Academic Director for Impact, Professor Liz Stokoe

Head of Research Communications and Engagement, KEI Integrated Service, Louise Jones

Senior Research Impact Manager, Kieran Booluck

Head of Research Governance and Impact, Jo Hemmings

Director of Research and Innovation, Jen Fensome

Associate Director of Innovation and Impact, Rachel Middlemass

Head of Public Affairs and Civic Engagement, Greg Taylor

Group I	Susan Scott
Group II	Paul Apostolidis
Group III	Anna Valero
Group IV	Tania Burchardt
Group V	Neil Lee
Research Centres	Sara Evans-Lacko
Research	Candice Howarth
Institutes	Tim Allen

Department Managers		Nino Nizharadze
Centre Managers	Anji Mehta	
Leading for London/ Civic Engagement	Tony Travers	

PAGE   Stephen Tall

The quorum will be fifty percent of the membership, in addition to the Chair or nominated substitute chair.

In attendance:

Research Impact Support Manager, Catherine Ulmer
Committees and Governance Manager, Casimira Headley-Walker

REVIEW OF THE DEPARTMENT OF STATISTICS

Purpose of paper	For the Committee to consider the Review Panel Report (**Annex A**) on the Department of Statistics and decide on the recommendations including whether or not to release the Department from Review.
Background	The first round of regular in-depth Academic Planning and Resources Committee (APRC) Reviews of Academic Departments finished in the 2018/19 academic year. Following a gap, arrangements for another round of Reviews starting in 2021/22 were confirmed. As part of the Review process APRC receives the Review report and is asked to agree the recommendations.
Recommendations	For the Committee to agree the recommendations including releasing the Department from Review.
Previous consultation including subcommittee approvals	The Head of Department of Statistics had the opportunity to identify factual corrections at the end of the report's drafting stage. The Department has provided a commentary (**Annex B**) and the School Management Committee has provided a response (**Annex C**) to the report. There is no approval process beyond APRC.
Strategic context	A Department Review considers whether a Departments' activities and plans, and proposed investments in them, are in keeping with the strategic aims of the School.
Risk assessment and mitigation	N/A
Financial considerations	A Department Review considers a Department's plans for strategic development, recruitment, and revenue generation, its workload allocation model, and its income/expenditure position, and if and how they might be improved.
Inclusivity considerations	A Department Review takes into account inclusivity considerations.
Ethical considerations	A Department Review takes into account the six core principles in the Ethics code.
Environmental considerations	N/A
Next steps including required committee approvals	APRC is the decision making body for next steps for the Review process.
Author Name	Evert Nivari Senior Planning Officer (Policy and Review)
Report Sponsor	Professor Eric Neumayer Pro-Vice Chancellor Planning and Resources
Release of Paper	To be determined by APRC. APRC has withheld some Review Reports in the past where it has considered that releasing the report may prejudice the effective conduct of School affairs due to the sensitive nature of issues discussed.

DEPARTMENT OF STATISTICS – DEPARTMENT REVIEW PANEL REPORT

March 2024

1. Background

1.1 The first round of regular in-depth Academic Planning and Resources Committee (APRC) Reviews of Academic Department, re-instated beginning in 2014/15, finished in the 2018/19 academic year. Following a gap, arrangements for another round of Reviews starting in 2021/22 were confirmed, including the merger of the old Student Affairs Committee (ASC) Reviews into a single, School-wide Department Review process (carried out by APRC with input from Education Committee and Research Committee). The Review of the Department of Statistics took place in the third year of the new round.

1.2 As of 2023/24 the Department of Statistics has 11.4 FTE Professors, 9.8 FTE Associate Professors (2 FTE of these being Education Career-track), 9.1 FTE Assistant Professors (including Course Tutors) (3 FTE of these being Education Career-track) and 2.9 FTE LSE Fellows, alongside which it has 9.8 FTE Professional Services Staff posts (PSS). LSE has had activity in the area of Statistics since its foundation and the current Department is distinct from many peers due to its location in a social sciences-based institution. Following recommendations made at the most recent Review (in 2015/16) the Department has undergone significant growth in recent years through its move into the area of Data Science. The Department's scores in internal student satisfaction surveys have varied along with the School's overall results, but are generally below the School average and have broadly declined in recent years. The relevant Unit of Assessment, comprised of the Department along with the Department of Mathematics, was ranked ninth by Grade Point Average (GPA) in the 2021 Research Excellence Framework (REF) exercise, a very significant improvement on the previous REF exercise.

1.3 The Department has three taught undergraduate programmes with a total of 423 students across these in 2022/23, and has introduced a new BSc Actuarial Science with a Placement Year from 2023/24. It has a range of postgraduate taught programmes including a core degree in Statistics with a number of streams, two other standalone taught programmes and a double degree with Fudan (now withdrawn), with a total of 138 students in 2022/23. It also has its own MPhil/PhD programme in Statistics.

2. Membership of the Panel

2.1 Internal members of the Review Panel (Panel) were: Professor Eric Neumayer (Vice President and Pro-Vice Chancellor (Planning and Resources)) as Chair, Dr Albina Danilova and Dr Omar McDoom (APRC), Dr Robert Simon (Research Committee), and Professor Dimitra Petropoulou and Professor Mark Hoffman (Education Committee).

2.2 Four external expert members were recruited to the Panel to assess the comparable standards of the Department with other institutions and to suggest improvements to the Department: Professor Gesine Reinert (Oxford), Professor Zhiliang Ying (Columbia), Professor Mete Soner (Princeton) and Dr Barnabás Póczos (Carnegie Mellon). **Annex A** gives their profiles.

3. Approach of the Panel

3.1 **Annex B** gives the advance information received by the Panel. **Annex C** gives the two-day Review schedule.

3.2 The Panel thanked the Department for the detailed and engaged Self-Evaluation Document (SED) and for the active engagement of the entire Department in the Department Review process.

4. Key Findings and Recommendations

4.1 The Panel was impressed with the Department, its trajectory of growth and development since the last Review and its future ambitions. The Department's expansion into the area of Data Science has been successful and it has improved its position in the REF. It demonstrates self-awareness regarding the issues and risks that it faces and has a clear vision for its future development. It has maintained a collegial atmosphere, is well-organised and led, and is expending significant effort on improving its student satisfaction. The Panel did not identify any

1

fundamental structural issues with the Department. Going forward, the Department will need to flesh out the details of its plans for development and ensure that expansion of student places and recruitment of new faculty align with its strategic aims.

4.2   The Department is well-led and managed and has a collegial and supportive atmosphere and a good management structure. The PSS team is well-led and integrated into the work of the Department, but the Panel agreed with the Department's view that additional resources and some reorganisation in this area are needed to ensure that the Department's strategic aims are properly supported.

4.3   The Department is committed to providing a high-quality educational experience, but scores on student surveys, both internal and external, are a source of concern and risk (which it acknowledges). The Panel did not find any major structural issues with the Department's educational provision or the Department's portfolio of programmes. The Department should continue to seek to address the causes of its survey performance including through increasing first-year undergraduate's contact with Departmental provision and through ensuring a consistent experience in terms of teaching by GTAs and feedback and assessment. In doing so it should engage with and learn from other Departments at the School who have faced similar challenges.

4.4   The quality of the Department's research is high and it provides a supportive research environment. The Panel was supportive of the Department's cutting-edge research agenda and encouraged it to support and encourage research grant applications and, in particular, collaboration with industry partners (with support from the School) to further develop its research activity. Industry partnerships could also help address the size of the Department's (generally good-quality) PhD programme, which it has identified as a key concern. It will also need to consider other ways of increasing PhD funding, as well as ensuring that students on the programme have access to sufficient training. A second key issue in terms of the Department's research going forward is the provision of sufficient computing power, and the School will need to take action to meet the Department's needs in this area.

4.5   The Department has high-quality faculty and provides a supportive environment and working culture, and faculty feel supported by colleagues and mentors and are aware of the requirements for career progression. Going forward, the Department should ensure that it maintains its positive environment and that it continues to hire strong faculty who can contribute to its strategic vision. It may also wish to consider whether arrangements for career development for staff and support of both faculty and students at all levels should be made more formal in line with the increased size and complexity of the Department.

Recommendation 1: The Department should, in time for next year's Annual Monitoring Meeting, prepare a more detailed strategic planning document outlining the specifics of its aims in terms of student number growth and diversification, new taught programmes and recruitment of new faculty and how these relate to its overall strategic vision. The Panel welcomed the Department's embrace of 'trustworthy AI' as an area of research and teaching that can guide the Department into the next phase of its strategic development.

Recommendation 2: The Department was encouraged to proceed (through the normal processes) with plans for new taught programmes in Economics and Data Science (undergraduate) and Applied Statistics (postgraduate).

Recommendation 3: The Department should work with the Deputy COO and the School to formulate and submit to APRC a detailed request for additional PSS resources.

Recommendation 4: The Department should consider ways in which it can increase the level of engagement undergraduate students have with the Department in their first year (using existing provision where possible), including potentially making ST160P an assessed component of the first year, with the aim of improving the students' cohort identity and sense of belonging in the Department.

Recommendation 5: The Department should consider ways to improve the consistency of the student experience, with a particular focus on ensuring that feedback and other support is meeting the needs of students and the teaching and support provided by GTAs is both consistent across individuals and of a uniformly high standard.

2

Recommendation 6: In continuing to address student satisfaction, the Department should seek to engage with and learn from other Departments who have successfully navigated similar issues.

Recommendation 7: The Department should take a more structured and systematic approach to seeking commercial partnerships and collaborating with industry partners, with an aim to increase the amount of research funding it receives and in particular fund PhD studentships.

Recommendation 8: Building on existing processes, the Department should ensure it is encouraging and supporting faculty to take advantage of research grant opportunities.

Recommendation 9: The Department should consider what more it can do to increase the number of PhD studentships it is able to offer, whether through re-directing existing funds, commercial partnerships, or bids for external funding.

Recommendation 1 for the School: The School should consider whether central support for partnerships with industry could be strengthened, particularly in STEM-related fields where there is potential and significant such activity at peer institutions.

Recommendation 2 for the School: The School should take concrete steps to recognise and meet the Department's computing needs and ensure that it is able to deliver adequate computing and data-processing capacity to support the Department's teaching and research.

Recommendation for the School 3: The Department should be released from Review.

5.   Academic Overview and Developments

5.1   The Department has developed significantly following the last Review and overall the Panel was impressed with the Department, its trajectory of growth and its future ambitions. The Department's response to the last Review has led to impressive and successful development of new activity as well as improvement across the board, and it demonstrates a good degree of self-awareness regarding the issues and risks that it faces. It has maintained a collegial atmosphere and culture and is well-organised and led, and is expending significant effort on improving its student satisfaction. The Panel was happy to see the success of the Department's expansion into the area of Data Science and commended it for its success in this area. The Department has also significantly improved its performance in the REF, and the Panel considered that in terms of research quality and its reputational standing, the Department may be underrating itself – the SED states that a goal for the next five to ten years is to establish the Department as " one of the leading statistics Departments in the UK" but, in many ways, it has already achieved this and should set its sights even higher. The Panel did not identify any fundamental structural issues and was pleased to see the Department's open and reflecting attitude towards identifying and addressing risks and its ambitious and forward-looking approach to future development.

5.2   The Department outlined a vision for future development in the Self-Evaluation Document and the Panel also heard a consistent message around "trustworthy AI" during the review sessions, which seemed to have support across all areas and levels of the Department, and is also a direction that the School Management Committee (SMC), in considering the SED, supported. The Panel was also very happy to see the Department continuing to push forward and aim to be at the cutting edge of a developing field, with an entrepreneurial approach and a desire for further growth. Although the Department could benefit, in some areas, from a period of consolidation to allow it to update structures and review its portfolio of activities after a period of rapid growth, the Panel supported its continued development and forward momentum as being suitable to the external environment in which it finds itself. In going forward, the Department should ensure that its actions align with the communal strategy it has put together – i.e. that it recruits faculty who are acting at the intersection of more traditional areas and the priority areas of data science and AI and are able to speak to cutting-edge issues. In particular the Department should be clear how a proposed hire in the area of survey statistics will link with the overall strategy and with cutting-edge topics. The future strategic direction of the Department should continue to be one that is able to pull together all groups and faculty.

5.3   Overall the Panel was happy for the Department to continue expanding and moving forward in the direction it has identified. The SED contained some detail on expansion plans, on which the Panel was able to take a view.

3

In particular, the proposed BSc Economics and Data Science was strongly supported by the Panel. Re-working of the social statistics strand of the core MSc programme into a new MSc Applied Statistics was also supported, but the Panel cautioned the Department to ensure that it thinks carefully about the content (instead of just re-branding the existing programme) and the vision for the potential market, including overlap with other programmes at LSE and whether the proposed title is the right one. Other planned growth through reform of the MSc Quantitative Methods in Risk Management (with the issue of over-reliance on a single market being particularly relevant to this programme) and a two-year Data Science programme were less enthusiastically received by the Panel and further reflection may be needed on how these aims can best be progressed. To help the School understand and support future expansion, it would be helpful for the Department to produce a more detailed strategic plan outlining the approximate number of students and faculty it expects to be involved in each specific area and a timetable of how expansion could be expected to occur. This should also include further details of e.g. how it plans to address the strategic risk (raised in the SED and also noted by the Panel) of its over-reliance on a single market for student recruitment and should make clear the specific areas in which it expects to hire and their link to both teaching needs and the broader strategic direction of the Department.

Recommendation 1: The Department should, in time for next year's Annual Monitoring Meeting, prepare a more detailed strategic planning document outlining the specifics of its aims in terms of student number growth and diversification, new taught programmes and recruitment of new faculty and how these relate to its overall strategic vision. The Panel welcomed the Department's embrace of 'trustworthy AI' as an area of research and teaching that can guide the Department into the next phase of its strategic development.

Recommendation 2: The Department was encouraged to proceed (through the normal processes) with plans for new taught programmes in Economics and Data Science (undergraduate) and Applied Statistics (postgraduate).

5.4 A cause of uncertainty in regard to the Department's vision for the future is the existence of the Data Science Institute (DSI) at LSE and its own current and future plans. The Panel heard that the DSI is not necessarily providing the kind of coordinating and facilitating service it might be expected to the Departments who have faculty active in the data science field, and indeed in some areas is seen as diverting attention or resources (e.g. around fundraising) away from the Departments (for example Statistics having been asked to provide support for fundraising for the DSI based on activity taking place in the Department). The Panel did not take a firm view on the future of the DSI or its relationship with the Department, but noted that the DSI is being reviewed through a separate Research Division process during the 2023/24 academic year. It is hoped that this, together with a potential re-evaluation and re-position of the DSI, will clarify the role of the DSI, particularly around coordinating and supporting research, make clearer what activity should be located where, and provide guidance on improving the relationship between the DSI and cognate Departments to enable them to work together in this area. Any re-positioning of the DSI toward the area of AI should represent an opportunity for the Department given its own focus on 'trustworthy AI'.

6. Leadership, Management and Organisation of the Department

6.1 The Panel found the Department well-led and managed, with a remarkably collegiate and friendly atmosphere and an apparent lack of internal disagreements or other fundamental structural issues. The leadership, past and present, not least the current Head of Department (who is also a former Head of Department), should be commended for their work in successfully steering the Department through a period of significant growth and development and for doing so while avoiding internal issues or fractures. There seems to be consensus about strategic direction and little competition between different groups or areas. Faculty at all levels, as well as the PSS team, feel included in the work and decision-making of the Department.

6.2 The Department's PSS team has grown through individual additions as the Department itself has expanded, but it has fewer professional staff per member of faculty and per student than many others in the School, and the Panel heard that the PSS team is overstretched and the lack of sufficient resources causes significant issues for the Department in delivering on key strategic aims. The Panel found the PSS team well-led and capable and was impressed with how it is integrated into the Department and with the support it provides, but was clear that the Department needs additional resources in this area. Alongside increasing the size of the PSS team, dependent on additional resources being made available, the Department should also work with the Deputy

4

COO and the School to look at how it delivers services and support and ensure that its mechanisms and organisation fit with the current and planned size of the Department.

Recommendation 3: The Department should work with the Deputy COO and the School to formulate and submit to APRC a detailed request for additional PSS resources.

7.   Education, Teaching and the Student Experience

7.1   The Department has three undergraduate programmes, ranging in size from a target intake of 25 student per year to a target of 70 (in 2023/24), and a range of postgraduate programmes and streams with between 14 and 39 student places. The Department's scores on student surveys, both internal and external, are a source of concern and risk which it addresses clearly in the Self-Evaluation Document but has not been able to resolve in recent years. The Panel was clear that issues with survey scores are not a result of low effort or motivation in the Department, and did not find any major failings or significant structural issues with the Department's educational provision. It also had no major concerns about the Department's portfolio of programmes. Nevertheless, it shared the Department's concern with student satisfaction, and encouraged the Department to engage with and learn from other Departments at the School, a number of which have recently faced similar challenges and which have valuable experience to share, even on seemingly minor points.

7.2   It is clear that the Department has expanded significant effort and thought on how student satisfaction might be improved, and has made a series of changes to delivery and organisation in pursuit of this, as well e.g. expanding significant effort on cohort building. However, scores have declined in the last few years, and while external factors such as the impact of Covid-19 may have played a part, some of this effort is therefore potentially misdirected or failing to address some causes of dissatisfaction. Based on the focus groups carried out for the Review as well as its meetings with students and faculty, the Panel identified two general areas in which further changes might be warranted (these apply in particular to undergraduate students, who have lower satisfaction scores, but the Panel did not make a clear distinction across levels). Firstly, the Department has struggled to build an (undergraduate) student community and cohort identity which the Panel felt may be related to the composition of the first year (crucial for engaging students in Departmental life and building connection and goodwill for latter years). For most students only one first-year course (out of four) is taught within the Department. The Panel also heard there is a lack of engagement with non-assessed first-year work in the Department (ST160P) which would otherwise cover some of the gap. The Department should consider ways in which it can increase the contact students have with Statistics-led teaching in their first year, for example through including the currently non-assessed ST160P element as part of an assessment pathway on the core first-year course, as well as through other mechanisms including reviewing curricula where applicable.

Recommendation 4: The Department should consider ways in which it can increase the level of engagement undergraduate students have with the Department in their first year (using existing provision where possible), including potentially making ST160P an assessed component of the first year, with the aim of improving the students' cohort identity and sense of belonging in the Department.

7.3   A second area where potential for improvement was clearly evident to the Panel was the consistency and perceived standard of teaching, feedback and other support, particularly by Graduate Teaching Assistants (GTAs), which was raised both in focus groups and by students during the Review, and reflected in what the Panel heard during other sessions regarding e.g. recruitment and training of GTAs. In particular, students reported that feedback provided varied significantly even within courses and there was a perception that the overall experience differed greatly for different students. The Department should consider ways in which it can improve quality and consistency of what GTAs (in particular) provide and must ensure that assessment and feedback practices are standardised within individual courses in particular. It could consider increasing the class size to reduce the need to hire GTAs "at the margins" and therefore improve the overall quality of its GTA cohort and should also consider whether mechanisms for training and support are available and/or uniformly taken up, and whether more can be done to standardise monitoring and mentoring of GTAs, all with the aim of delivering a consistent student experience.

7.4   One of the particular areas in which students reported inconsistencies and other issues was the amount and nature of feedback and other preparatory material they receive. Ensuring that this is consistent across different

5

class groups as well as being delivered in a consistent and thought-through way at programme level should improve the perceived student experience and the Department should engage with students to ensure they are getting the kind of feedback (and other forms of preparation such as examples to help understand grading of coursework-based assessment) they feel they need. The Panel also suggested that the Department more explicitly frame and promote the support it provides as a "statistics lab", similar to provision in Mathematics and Methodology – it appeared this is mainly a branding and communication issue rather than an issue with access or content. More broadly, the Department should continue efforts to find the most effective ways of communicating with students and ensure that its offerings (such as office hours, student support, academic mentoring, and, for example, the availability of summer research opportunities) are clearly signposted and are integrated into the experience of all students. While students found the support and mentoring they received from the Department's faculty to be very good, they often had to seek this out on their own; formalising and standardising access would help with perceptions of unevenness.

Recommendation 5: The Department should consider ways to improve the consistency of the student experience, with a particular focus on ensuring that feedback and other support is meeting the needs of students and the teaching and support provided by GTAs is both consistent across individuals and of a uniformly high standard.

Recommendation 6: In continuing to address student satisfaction, the Department should seek to engage with and learn from other Departments who have successfully navigated similar issues.

7.5 The Panel noted the ongoing work to develop and update the Department's portfolio of programmes. Based on the evidence it received and the students it met, students were broadly happy with the composition of their programmes and understood the reasons for e.g. a tight curriculum on the BSc Actuarial Science (linked to the professional opportunities offered by the programme) and the breadth of the offerings on the BSc Mathematics, Business and Statistics. One issue that the Panel noted with the existing programme offering, which was raised by a number of students, is the ongoing concerns of Chinese students on the MSc Quantitative Methods in Risk Management around the length of the programme and the timing of graduation (related to recognition of the award in China). Given that Chinese students make up the majority of the market for this programme (notwithstanding efforts to make it attract a broader audience), any issues which impact them are clearly a strategic risk and the Panel urged the Department to ensure that it works with the School to resolve the situation.

8.   Research

8.1 The overall quality of research in the Department is high. The LSE's ranking in the UoA to which the Department contributes in the REF (along with the Department of Mathematics) increased from 27th in 2014 to 9th in the most recent (2021) exercise. The Panel commended the Department for its part in this significant improvement and felt that the Department had not, perhaps, fully taken onboard what this shows about its standing and reputation in terms of research. The Department is clearly very strong in its areas of specialism in the UK context and should therefore continue to be ambitious and seek to compare itself to an increasingly international set of top-quality peers. The Panel also found that the Department's research environment is good - and particularly that it provides a supportive environment, and that the system of loose research groups appears to work well (with no apparent intra-group or inter-group tensions). Going forward, the Department should build on its strengths to support its exciting and forward-looking research agenda, while working to increase the amount of external funding from commercial partners and research grants.

8.2 The Panel found that a key element missing from the Department's approach to research is a network of commercial partnerships and collaborations. Contrary to its peers (certainly in the USA but also top peers in the UK) the Department has very little activity with commercial partners. While the Department noted that developing and implementing such partnerships takes up significant amounts of time, the Panel was clear that this was an area where the Department could do more and could gain significant benefits, including additional funding for PhDs. While the Panel acknowledged that at many peer institutions with strong cognate departments of e.g. computer science or engineering there is significant additional central support for this type of enterprise, the Department could also do more to encourage and support faculty. The Panel recommends that the Department consider carefully the benefits it could gain from a more structured and systematic approach to seeking commercial partnerships and collaborating with industry partners, and consider whether as part of increases to

6

the size of the PSS team a (partial) post with responsibility for driving and supporting this kind of activity could be useful (for example as part of a role that also focuses on alumni relations). The School, however, also needs to consider whether it could provide additional support for those Departments who don't have the backing of what, at other universities, would be a wider network of commercially engaged departments.

Recommendation 7: The Department should take a more structured and systematic approach to seeking commercial partnerships and collaborating with industry partners, with an aim to increase the amount of research funding it receives and in particular fund PhD studentships.

Recommendation 1 for the School: The School should consider whether central support for partnerships with industry could be strengthened, particularly in STEM-related fields where there is potential and significant such activity at peer institutions.

8.3   In addition to seeking additional funding from commercial partnerships and industry, the Panel considered that the Department could also further improve its track record of seeking and winning research grants. The exciting cutting-edge research that the Department is now engaged in and seeking to expand provides a significant opportunity given the increasing societal importance and relevance of AI and related topics, and the Department should ensure that it is well-placed to capitalise on this. The Panel found the support for grant-writing and applications within the Department to be good, and urged it to build on this solid foundation to make winning research grants a priority.

Recommendation 8: Building on existing processes, the Department should ensure it is encouraging and supporting faculty to take advantage of research grant opportunities.

8.4   One of the Department's key concerns in the area of research, as expressed in the SED, is the size of its PhD programme. This is small compared to many peers and has been the source of issues in terms of faculty recruitment and retention. The School's ability to provide additional scholarships is limited by both overall resources and demand across Departments, so there are unlikely to be significant increases in what the Department is allocated centrally. Nevertheless, the Panel agreed that the small size of the PhD programme and the inability for researchers to work with a team of PhD students is a hindrance to the Department's ability to provide and sustain an adequate research culture. The same applies to its ability to recruit and retain high-quality faculty. The Department should make every effort to consider whether additional scholarships can be funded from its existing resources (e.g. from outside income) and to seek additional external funding, including from commercial partnerships. Other potential sources of funding include the Alan Turing Institute (which the Department should engage with) and a potential future bid for a Doctoral Training Centre (DTC), which the Panel encouraged the Department to prepare in advance for given significant effort needed and the need to apply jointly with peers.

Recommendation 9: The Department should consider what more it can do to increase the number of PhD studentships it is able to offer, whether through re-directing existing funds, commercial partnerships, or bids for external funding.

8.4   While the Department's PhD programme may be small in comparison to peers (with 26 registered students in 2022/23), the Panel found it to be largely of high quality. Students met by the Panel were largely satisfied with their experiences and reported that they found the Department collegial and helpful in particular. The Panel noted some concerns in two areas. Firstly, similarly to taught students, PhD students reported that the availability of mentoring and support from academic faculty was not necessarily standardised or part of a formal structure, but rather dependent on individual arrangements and initiative. As at the undergraduate and postgraduate taught levels, the Department should consider whether it needs to make PhD mentoring practices more systematic and standardised, befitting its increased size and ensuring that standards continue to be high across the board. Secondly, while the Department has recently introduced a taught element to the first year of the programme, students did not necessarily find this sufficient and felt they would have benefitted from a wider range of opportunities for training. The Department should, in the first instance, ensure that it is adequately promoting and embedding the opportunities available through the Academy for PhD Training in Statistics (APTS), and should also work in consultation with PhD students to understand their training needs and ensure they have access to the right training and development opportunities, whether internally or elsewhere.

7

8.5 A strategic risk for the Department's research in particular (but also more generally in e.g. recruitment and educational provision) is the availability of sufficient computing resources at the School to enable faculty to carry out the kinds of work they need to do if they are to deliver on the Department's vision and strategy. The Department noted this in its SED and the Panel concurred and urged the School to work with urgency to make sufficient resources available in this area (which is also a concern for other Departments). The Panel heard that outsourcing computing facilities to services such as Amazon Web Services can be excessively costly and inefficient and that more consideration should be given to how such facilities can be provided either within the School or even within the Department. Either way, this should be a top priority for the School given it resonates with what other Panels reviewing other Departments (e.g., the Health Policy Department) heard about the School's inadequate computing facilities.

Recommendation 2 for the School: The School should take concrete steps to recognise and meet the Department's computing needs and ensure that it is able to deliver adequate computing and data-processing capacity to support the Department's teaching and research.

9. Faculty Development and Recruitment and Retention

9.1 The Department has hired well as it has grown in recent years and has high-quality faculty. The Panel was particularly pleased to see the Department's success in bringing in diverse faculty and the importance that it places on this. The internal culture is very strong and positive, and faculty seemed happy to be in the Department and felt supported, including in terms of e.g. guidance on grant applications. They are also aware of how career progression works and the Department appears to have a robust system of Career Development Review (CDR) meetings in place. Arrangements for mentoring and other support provided by senior faculty appear to function well and faculty find their colleagues helpful and approachable (although these could be made more formal and systematic). Going forward, the Department should work to maintain its internal culture and atmosphere and ensure that it continues to hire top quality faculty who are at the cutting edge of the discipline and can contribute to both their own specialisms and the Department's wider direction of travel.

9.2 Junior faculty in the Department were happy with their relations to senior colleagues and with the support they received; they reported that faculty across the board were happy and available to help or advise. However, the Panel noted that arrangements were uniformly reported to be very informal in nature (similarly to what it heard about academic support for students). While a collegial atmosphere and informal relations are positive aspects of the Department, as the Department grows it needs to ensure that structures are in place to ensure that all colleagues receive adequate support and don't "fall through the cracks". The Department should consult with junior faculty in particular on whether any additional structure needs to be put in place and what would best ensure that all faculty receive similar levels of support.

9.3 The Department now has five faculty on the Education Career Track (ECT). The Panel was pleased to hear of the success of the introduction of these posts and of the vital contributions these colleagues make to the Department's work. However, ECT colleagues noted that, contrary to other faculty in the Department, the criteria for progression and promotion are unclear, and there are few if any mentors or examples available to them (in particular given the range of roles that exist within the ECT "umbrella"). While this is an issue at the School level as well, the Department should ensure that it is working with both ECT colleagues and with the School to make sure that criteria for promotion are as clear as possible and that ECT faculty have appropriate mentors available.

10. Best Practice

10.1 During consideration of Review reports from the previous round of Reviews, the APRC found that a better understanding and diffusion of best practice arising from Department Reviews and Annual Monitoring would be useful. As such, while the Panel was not explicitly asked to identify best practice in the Department, the following areas of good practice should be considered by the relevant areas of the School for further study or dissemination as relevant: the successful development of the Department in the period since the last Review, the strategic and forward-looking approach to its future plans (as demonstrated in the SED) and the extremely collegial and welcoming Departmental community (at all levels).

11. Review process

8

Recommendation for the School 3: The Department should be released from Review.

Professor Eric Neumayer, Vice President (Planning and Resources)
Evert Nivari, Senior Planning Officer (Policy and Review)

9

Annex A: External Review Panel Member Profiles

Professor Gesine Reinert
Professor Reinert is University Professor of Statistics at Oxford University and a Fellow of Keble College. She is also a Fellow of the Alan Turing Institute. Her research areas include Applied probability, Computational biology, Stein's method, Networks and Word count statistics. She is Editor-in-chief for SpringerBriefs in Probability and Mathematical Statistics, and Chair of the Applied Probability Section of the Royal Statistical Society. She is also Vice-chair of the European Cooperation for Statistics of Network Data Science and serves on the editorial board of the Journal of Computational Biology.

Professor Zhiliang Ying
Professor Ying is Professor of Statistics at Columbia University, and the Director of Graduate Studies in the Department of Statistics. His research interests cover survival analysis, latent variable models, sequential analysis, longitudinal data analysis, stochastic processes, semiparametric inference, and their applications in health sciences, educational and psychological assessments, and finance. He is Chief Co-Editor of Statistica Sinica and a Fellow of the American Statistical Association and the Institute of Mathematical Statistics.

Professor H. Mete Soner
Professor Soner is the Norman John Sollenberger Professor in the Department of Operations Research and Financial Engineering at Princeton University. He was previously Professor of Mathematics and Chair of the Department at ETH Zurich. His research is on decisions under uncertainty and related problems in stochastic optimal control, Markov decision processes, nonlinear partial differential equations, probability theory, mathematical finance and financial economics. He is Editor-in-Chief of SIAM Journal of Financial Mathematics (SIFIN), a Co-Editor of Mathematics and Financial Economics (MAFE), and a SIAM Fellow.

Dr Barnabás Póczos
Dr Póczos Dr. Barnabás Póczos is an associate professor in the Machine Learning Department at the School of Computer Science, Carnegie Mellon University. His research interests lie in the theoretical questions of statistics and their applications to machine learning. He has been a PI or co-Investigator on 15+ federal and non-federal grants. And he is a recipient of the Yahoo! ACE award.

Annex B: Information Received for the Review

In advance of the Review, the Panel received an Information Pack consisting of the following documents: a briefing note from the Chair, the Department's Self Evaluation Document (SED) and its associated annexes, a selection of Department Profile data, benchmarking data on its proffered peer set, the report of the Department's previous APRC Review (2015/16), a summary of student focus groups conducted for the Review, and CVs of the Department's faculty.

Annex C: Schedule of the Review

The Panel met on Thursday 7th March 2024 for the first day of the two-day Review to consider the material and interview the following individuals and groups: the Departmental leadership, the junior faculty, the undergraduates, the taught postgraduates, the PhD students, and the Professional Service staff. On the second day, Friday 8th March, the Panel met the Professoriate, discussed its initial findings, and related them to the leadership of the Department. Meetings were held in the Vera Anstey Room on both days. This Panel Report was subsequently produced and has been circulated to SMC and the HoD for comment. The Report plus the comments of SMC and the HoD will be made available to the APRC meeting on 14 May 2024.

10

Department Review - Department response

The Department would like to thank the Review Panel for its very supportive and constructive report. It fully reflects the nature of the discussions we had during the review. We are taking on board all the recommendations and will embrace them in the coming months and years.

Recommendation 1: The Department should, in time for next year's Annual Monitoring Meeting, prepare a more detailed strategic planning document outlining the specifics of its aims in terms of student number growth and diversification, new taught programmes and recruitment of new faculty and how these relate to its overall strategic vision. The Panel welcomed the Department's embrace of 'trustworthy AI' as an area of research and teaching that can guide the Department into the next phase of its strategic development.

This Recommendation was orally mentioned during the feedback session. As such a meeting with the relevant programme directors and colleagues has been scheduled for later in May. A departmental plan will be discussed and various more targeted discussions, involving various partners in the School when needed (such as Graduate Admission) will take place before the summer.

Recommendation 2: The Department was encouraged to proceed (through the normal processes) with plans for new taught programmes in Economics and Data Science (undergraduate) and Applied Statistics (postgraduate).

Since the Review, further discussions have taken place with the Department of Economics. We plan to submit the proposal for the BSc Economics and Data Science to the USSC soon. We will continue discussing a new taught postgraduate programme in Applied Statistics, taking the panel's caveats into account, as part of the strategic planning discussions (Recommendation 1).

Recommendation 3: The Department should work with the Deputy COO and the School to formulate and submit to APRC a detailed request for additional PSS resources.

Since the Review, the HoD and the Department Manager have had several discussions with the Deputy COO on this point.

Recommendation 4: The Department should consider ways in which it can increase the level of engagement undergraduate students have with the Department in their first year (using existing provision where possible), including potentially making ST160P an assessed component of the first year, with the aim of improving the students' cohort identity and sense of belonging in the Department.

Prior to the Review, we have explored the feasibility of making ST160P an assessed component of the first year. The only possible venue to incorporate ST160P for all our first-year undergraduate students would be through the only common statistics course that they take, i.e., ST102. ST102 is a large established and School-wide service course. However, the course content for ST102 provides all the necessary foundation for our first-year students and it will be inappropriate to remove any ST102 content to incorporate ST160P materials.

Since the Review, we have developed a new first-year course proposal exclusive to students in the BSc Actuarial Science, BSc Actuarial Science with a Placement Year, and BSc Mathematics, Statistics and Business programmes. This new course will incorporate ST160P materials and aims to facilitate opportunities to improve students' cohort identity and sense of belonging in the Department. This new course will start in the 2024/25 academic year, provided it is approved by USSC later this month. We will request Timetabling colleagues to group BSc Actuarial Science, and BSc Actuarial Science with a Placement Year students in the same class groups, and same for BSc Mathematics, Statistics and Business students.

For BSc Data Science students, their programme regulations have two compulsory data science courses (i.e., ST101 and ST115) that we could utilise to create opportunities to improve BSc Data Science students' cohort identity and sense of belonging. In addition to our BSc Data Science students, ST101 and ST115 are two popular courses taken by students outside our Department. Since the Review, we have requested Timetabling colleagues to group BSc Data Science students in one class group for both courses from the 2024/25 academic year. These classes will be taught by the BSc Data Science Programme Director which we hope will help to facilitate opportunities to improve BSc Data Science students' cohort identity and sense of belonging.

Recommendation 5: The Department should consider ways to improve the consistency of the student experience, with a particular focus on ensuring that feedback and other support are meeting the needs of students and the teaching and support provided by GTAs is both consistent across individuals and of a uniformly high standard.

Recommendation 6: In continuing to address student satisfaction, the Department should seek to engage with and learn from other Departments who have successfully navigated similar issues.

The Department is really keen on exploring and considering all possible ways to improve the consistency of all aspects of student experience and satisfaction, as well as learning best practices from other colleagues and departments across the School. For example, since the Review, we have met and discussed with Prof Petropoulou, Deputy Head of Department (Education) of Department of Economics to learn about the good practices in improving Economics' student experience and satisfaction.

Recommendation 7: The Department should take a more structured and systematic approach to seeking commercial partnerships and collaborating with industry partners, with an aim to increase the amount of research funding it receives and in particular fund PhD studentships.

The Department is really keen on this Recommendation. We are in the process of exploring ways to move this forward. A first step, already at the implementation stage, will be the launch of a new seminar series where speakers from the industry will present ideas and challenges they face in places outside of academia, and could potentially use input. We believe this will create initial contacts and bridges that can be subsequently expanded and utilized for all areas of research, including funding opportunities. For the endeavour to be successful, help and input from the School will be needed, in line with the School recommendation 1. In particular, active identification of potential industrial partners, and the set-up of lines of communication between them will be crucial.

Recommendation 8: Building on existing processes, the Department should ensure it is encouraging and supporting faculty to take advantage of research grant opportunities.

While there are already well-placed impetus schemes to both encourage and support faculty to apply for grants, there are indeed steps that can be taken to improve discoverability. The Department intends to design a central electronic location where information about all possible funding opportunities related to our research can be found. For the latter, considerable support from the PSS

team will be required. In addition, the research of an increasing number of the Department's staff, especially in Data Science and the emerging AI, relies on powerful computing; this is quite contingent on Recommendation 2 for the School fully taken into account.

Recommendation 9: The Department should consider what more it can do to increase the number of PhD studentships it is able to offer, whether through re-directing existing funds, commercial partnerships, or bids for external funding.

The HoD together with the finance manager have started reviewing the current financial position of the Department to study the possibility of introducing another departmentally funded PhD studentship. In addition, commercial partnerships will be sought after in line with the actions spelt out in the answer to Recommendation 7 above. The Department is committed to seeking avenues for external funding; for example, meetings were held with the Research & Innovation team, and will be followed up, where groundwork has been laid for a future application for a CDT (Centre for Doctoral Training).

Recommendation 1 for the School: The School should consider whether central support for partnerships with industry could be strengthened, particularly in STEM-related fields where there is potential and significant such activity at peer institutions.

The Department welcomes this Recommendation for the School.

Recommendation 2 for the School: The School should take concrete steps to recognise and meet the Department's computing needs and ensure that it is able to deliver adequate computing and data-processing capacity to support the Department's teaching and research.

On this Recommendation, which is for the School, the Department would like to note the fantastic proactive interaction with the new CIO on Research Computing. We are very hopeful.

Recommendation for the School 3: The Department should be released from Review.

4

APRC/25 – Annex C

SMC considered the Department of Statistics report at its meeting on 30 April 2024. SMC's considerations are summarised in the minutes of the meeting:

		4. **Departmental Review – Statistics (SMC/191)**
NOTED		Discussed the review, noting that it was a positive report on a good department. Further noted the recommendations in the report and shared focus on trustworthy AI.
		Ongoing conversations in respect of computing and cloud versus local data centres, further noted that Nick Gilbert had a positive relationship with the department and that work was ongoing.
		The department's performance in the NSS and work ongoing to investigate the causes, including challenges around the generation of a cohesive cohort. Further noted that the department was taking positive steps to address their activities and NSS performance.
AGREED	**4.1**	That there was a lack of departmental drive around commercial partnerships and collaboration with industry, and a prevailing view that there wasn't enough central support in this space, which could be an area of significant growth. Agreed that it would be beneficial to bring together the department with R&I and PAGE colleagues to discuss progress, hosted by Susana Mourato. **ACTION: Susana Mourato to convene a meeting with Pauline Barrieu, Sarah Anderson and Jen Fensome to discuss the Department of Statistics commercial partnerships and industry collaboration, informed by their reports on research and PhD programmes.**
	4.2	That in respect of discussions on commercial partnerships and industry collaboration, that Ben Plummer-Powell and Mike Ferguson were meeting to discuss the need for staff based across departments, and potential clustering of activity.
	4.3	The need to be mindful of the significant departmental reliance on international students from China, noting that work on diversification was ongoing with Adrian Thomas. Further agreed that the department could benefit from expanding social statistics elements in its course offering.

THE LONDON SCHOOL OF ECONOMICS AND POLITICAL SCIENCE ■

Meeting and date	Research Committee, 09 October 2024
Title of paper	Expansion of the Research Ethics Committee
Decision or Information item	Decision
Purpose of paper	A proposal to the Committee for significant expansion of the Research Ethics Committee
Outcome requested	The Committee is asked consider and approve the request from the Research Ethics Committee for significant expansion
Restricted business	No
Author	Lyn Grove, Senior Research Ethics Manager / Secretary, Research Ethics Committee
Sponsor (if relevant)	Professor John Chalcraft, Chair, Research Ethics Committee
Previous consultation	An interim increase in members for the Autumn Term to help cover a large number of REC members on sabbatical/research/other leave was approved by the RC and AB Chairs in August 2024.

EXPANSION OF THE RESEARCH ETHICS COMMITTEE

BACKGROUND

The Research Ethics Committee (REC) has had an issue with workload for a number of years – particularly since 2021 when the online research ethics submission system led to a significant increase in the number of ethics applications submitted to the REC for review (from c 250 to c 750 p/a). The Committee has tried to address this with a number of mostly small, incremental measures, including increasing the size of the Committee to 27, as well as a number of more recent changes to the ethics review policy/process – most notably exempting all UG research from REC review, and exempting PGT research for small projects (but not dissertations, which continue to be reviewed by the REC depending where risk level requires it).   Additionally, last year for the first time the Committee engaged an hourly-paid PhD student to assist with the reviewing of MSc applications primarily during the WT and ST. These changes have collectively had some positive effect: the total number of applications received last academic year was lower (c 600) and the volume of applications during the peak period (mid-February to mid-June) was marginally less fraught than the previous year. The previous year the Committee was overwhelmed with applications early in the ST and we had to ask a few departmental ethics approvers to assist with reviewing MSc submissions from their departments; whilst this did help us clear a backlog it was quite stressful for the two Research Ethics Managers to manage as it had to be handled in parallel to the online system (involving a lot of email correspondence and manual updating of the system), and also threw up some additional challenges of its own in terms of decision outcomes. Last academic year we did not need to resort to doing that, but we nevertheless struggled to manage the volume of MSc applications (in addition to PhD and staff applications, and, as always, a large volume of - often urgent and very varied - ethics enquiries). The Committee would not have managed were it not for us being fortunate in have a number of members who go above and beyond in terms of workload and willingness to assist with advice on the many, often complex, questions we have to deal with on a regular basis.

A further issue is one of breadth of expertise. The current REC membership covers a range of areas, but it is still not sufficient to cover all areas that require coverage, or to have *sufficient* coverage of the particularly complex/sensitive areas that frequently arise. It can be particularly difficult when members with specific expertise are on leave. The areas where the Committee most needs more cover/expertise include: health (including mental health and health in LMICs), gender-based violence and inequalities, climate change, experimental research, visual methods, and regional expertise in China, Africa, Middle East, and South-East Asia.

PROPOSAL

We feel that the only way to truly address the workload and expertise issues decisively is to expand the size of the Committee significantly, but to a still manageable size in terms of working in a unified, coherent way. We propose that the Committee should be expanded to 40 members.

We appreciate that this is much larger than other Committees at the School; however, the role and work of the REC, we believe, is different to that of other School committees. A question has been raised about how this would affect the decision-making powers of the REC. We do not feel that a committee of 40 would negatively impact decision-making. The termly Committee meetings focus on the sharing/discussion of ethical issues that have arisen in recent reviews, discussion of guidance, etc. It is rare that decisions on ethics review applications are taken at meetings (reviews and approval decisions are made on a rolling basis

outside of the meetings by sub-sets of reviewers and/or with the Chair or Deputy Chairs). Over the last 5-plus years the only truly difficult decisions the Committee has faced have been in relation to particularly contentious issues – for example a case involving the use of hacked/illegal data, and a case proposing the use of covert research. Furthermore, the Chair and two Deputy Chairs, along with the Senior Research Ethics Manager/Committee Secretary, in effect function as a smaller decision-making body given the number of decisions that are taken through email exchanges on individual applications and/or issues arising. The full Committee is usually informed of any such decisions at the termly meetings. Thus we are confident that a 40-member committee, with a "Chair's team" is perfectly able to function in both a robust and nimble way.

A 40-strong Committee is preferable to having a smaller Committee and a larger 'reviewer pool' (which some larger institutions have in place). We feel that it is crucially important that whoever conducts reviews is also able to participate fully in Committee meetings, as in addition to best practice sharing, a lot of basic knowledge is conveyed at the meetings, as well as discussion of the various policies and guidance that we have, which is very important for those reviewing to be aware of. At the meetings there is also a sharing of any recent complex, or unusual, issues that have arisen since the previous meeting. Thus there is immense value in all reviewers being a full part of the Committee and attending the termly meetings. Having a larger reviewer pool we believe would mean taking on a significant risk in relation to lack of sufficient and consistent reviewing expertise, and could also mean increasing the time wasted on managing a larger pool and any issues arising from substandard reviewing. We do not therefore favour this option.

A further point to make is that a much larger committee would also mean we are not significantly impacted when members are on leave (sabbatical, research, parental, sick). We have had quite a few members on leave over the past few years, and for the coming academic year (2024-25) we have 5-6 members on leave each term, which is particularly worrying. It is important that the Committee is better able to cope with this and future shortfalls.

RESOURCE IMPLICATIONS

We do not see any negative resource implications, and indeed believe that having a larger committee will help with wider buy-in and the diffusion of expertise regarding this growth area across the School.

INTERIM MEASURE, AT 2024

In August the Chairs of RC and AB agreed that as an interim/emergency measure due to the number of members on leave this academic year, the REC could recruit 6 interim members for the AT, subject to consideration/approval by RC and AB of the full proposal/expansion request at their respective October meetings. The recruitment for these interim members is currently under way. However we would like to stress that membership of the REC requires both an induction session and an induction period in order for new members to develop a full understanding of the breadth of issues that come to the Committee for review/decision and the nature of the advice the Committee provides (to which they can then bring their own expertise) on research in often complex scenarios.
The RC and AB Chairs also agreed that the Committee can continue to engage a PhD student member (but to split the time commitment across two PhD students this year rather than one).

ACTION REQUIRED

Research Committee and Academic Board are asked to consider the proposal for the REC to expand to a total of 40 members. The total number would include the interim appointments currently being recruited to (whose appointments would then be extended to full terms), and the two PhD student members.

Operational

The Committee Effective Behaviour Statement

The School expects the highest ethical standards and seeks to foster an inclusive environment. As a community we value equality of opportunity, respect and diversity in acknowledging and respecting a broad range of social, cultural and personal beliefs, and we expect everyone to demonstrate mutual respect, open-mindedness and transparency. This extends to all School committees including within Departments and Service Divisions.

All committee members, whether academic, professional services, student and external members, are collectively responsible for the decisions of the committee. Debate and disagreement are expected within discussions, however all members should be seen as equal and their views and opinions should be treated with respect.

Committee Chairs will challenge any inappropriate attitudes, language and behaviour which does not meet these standards. For example, being rude, overbearing, talking over others, making inappropriate remarks or gestures (including sexist or racist comments) and belittling others' opinions, abilities and experiences.

This statement supports five of the six Ethics Code principles: Responsibility and Accountability, Integrity, Intellectual Freedom, Collegiality and Equality of Respect and Opportunity.

What to do if members have concerns about any behaviour which contravenes the Committee Effective Behaviour Statement

Committee Chairs will consider how to respectfully address any inappropriate attitudes, language and behaviour. Within the meeting this might be done by reminding members of this Committee Effective Behaviours statement and the wider Effective Behaviours Framework. It may be necessary for the Chair to follow up outside of the meeting with both parties. In serious cases, such as those that have been the subject of persistent and / or highly inappropriate behaviour from another committee member should contact the School's Ethics Manager for further advice: ethics@lse.ac.uk

Review schedule

Review interval	Next review due by	Next review start
3 years	October 2024	July 2024

Version history

Version	Date	Approved by	Notes
1.0	16/10/2018	SMC	
1.1	19/10/2021	Reviewed no amendments - added references to the Council and Council Committee Standing Orders	

Links

Reference	Link
Ethics Code	Ethics Code
Effective Behaviours Framework	Effective Behaviours Framework.
Council Standing Orders	Council Standing orders.
Council Committee Standing Orders	Council committee Standing Orders

Contacts

Position	Name	Email	Notes
Ethics Manager	Stephanie Allison	ethics@lse.ac.uk	

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	

Progress on the Enhancing Research Culture and Collaboration Workstream

We are pleased to present a brief update on culture activities at LSE.

Firstly, a formal definition of research culture has been produced for LSE that encapsulates best practice from the sector, namely the Royal Society, and aligns to the objectives of the enhancing research culture and collaboration workstream. The definition of "Research Culture" for LSE drafted to note:

"Research culture encompasses the behaviours, values, expectations, attitudes and norms of our research communities. Research culture at LSE is the way we approach, conduct and understand research and impact, and how we support the diverse people in our research environment."

We have also had initial success with several new initiatives:

1. New LSE Mid-Career Academic Coaching Programme was launched for a pilot year with 28 applications for 20 coaching spaces. Participants will receive 4 hours of 1:1 confidential researcher coaching and access to resources as a cohort. Outcomes reporting to be made available in Winter/Spring 2025.

2. LSE ECR Network Changemakers Programme Round 1 Outcomes Report has been concluded with recommendations for LSE management. The report will be presented at RSPC meeting to consider the recommendations. Round 2 Projects in 2024-25 include one project investigating the experiences of racialised ECRs and a second project continuing the work of the first book writing group.

3. Summer of Research Culture Pilot Projects have concluded and whilst not all reports are finalised we have already identified potential to expand the successful Writing Retreats at institutional level as part of RISe in collaboration with the leading Research Manager and other Academic Managers across LSE.

For further information please contact Nathalie Van der Elst.

LSE Guidance on the use of Generative AI for research

This guidance applies to all LSE staff and students undertaking research. It has been published in draft form following initial consultation phase to support release of resources for the use of generative AI for research. The draft guidance will be circulated for wider consultation and sign off by end of 2024. *August 2024*

Notes:

    i)   Due to the pace of technological developments, this document is subject to review a) every 3 months and b) as and when substantial new technologies or features emerge that directly impact the use of generative AI in research.

    ii)   All academic research, irrespective of tools used, should adhere to the School's principles of "honesty, accountability, transparency, research rigour and good stewardship"

Definition

Generative AI (GAI) refers to AI systems that create new content, predominantly text but also images, audio and video, based on users' natural language prompts. It should be thought of as a supportive tool or assistant, with researchers always in the driver's seat and accountable for what they produce.

Overview

As an institution committed to promoting innovation and impact, the LSE understands and welcomes the enormous value GAI can bring, and the School actively supports and encourages its responsible use by staff and students. GAI is still in its infancy but is already transformative, enabling unprecedented productivity advantages for knowledge exchange activities, ideation, learning new concepts and skills, planning, feedback, analysis and accelerating knowledge discovery. As the scale and quality of AI technologies improve, and as researchers learn to make the best use of them, the potential for enhancing research will only grow. For now, the guidance on effectively using GAI tools is a wide-ranging and continually-updated resource for LSE researchers, including an introduction to the technology, good practice advice and a wide range of illustrative examples.

As with all technologies, there are risks. The most important are those with legal, regulatory or financial consequences, particularly around deliberate or inadvertent sharing of data with third parties. The School's Legal and Regulatory Guidance for using AI <link forthcoming> covers data governance and legal risks for all AI usage by staff including for administrative and education work. For research work specifically the main risks are as follows:

Primary Risks

Data Privacy and Security

Researchers should avoid sharing personal or sensitive data with 3rd party tools that do not provide assurances of privacy and security. Microsoft Copilot is available for staff and student use in the LSE, supported centrally, and is fully secure and private when logged in with an LSE email in the Edge browser. No data is stored or shared with any third parties nor used to train models, so its use is strongly encouraged. Please read the full LSE guidelines on MS Copilot.

- If any kind of personally identifiable information (PII) is required for any research work, and MS Copilot isn't viable, and the researcher is unable to anonymise or pseudonymise (see the School's guidelines on data anonymisation and pseudonymisation), a Data Protection Impact Assessment (DPIA) must be submitted, as with any research project involving PII processing.

Researchers should read and understand the Terms and Conditions (T&C) of any tool used. Wherever possible researchers should use Microsoft Copilot because it assures privacy and security. While the Chat GPT Team Plan provides enhanced security and privacy compared to the standard commercial licenses and is permitted within the LSE, the terms and conditions make clear that any data is temporarily stored in the US which risks breaching GDPR and therefore personal or sensitive data should never be uploaded to it.

Copyright and Intellectual Property

Researchers should avoid sharing copyrighted materials with third party AI providers. This may include licensed and open access works held by the LSE Library, as some publishers have policies against uploading content where there is a risk of the data being used to train future commercial AI models. Again, Microsoft Copilot when logged in with an LSE email address is the recommended tool for staff given that content is not retained to be used in training models.

Acknowledgement, Authorship and Accountability

Researchers should consult publishers' and funders' guidelines in advance as they can differ on policies regarding acceptable use of GAI, for example requiring acknowledgement or audit trail of how it was used, or questions of confidentiality of submitted work or reviewer feedback. Here's a list of links to major publishers' policies relating to generative AI:

Cambridge University Press
Elsevier
Nature
Sage
Taylor & Francis
Wiley

The core themes in academic publishers' policies are as follows:

Category	Detail
Accuracy	Factual verification of any 'information' output by AI.
Acknowledgement	AI use must be acknowledged in the manuscript where used substantively.
Authorship	Author is always fully accountable; AI cannot be used or listed as an author.
Bias	Evaluate and critically reflect on inherent biases of AI outputs.
Copyright	Check AI outputs for inadvertent plagiarism (e.g. via Turnitin)
Privacy	Confidential information (including paper content or comms relating to submissions) must not be uploaded to AI tools by reviewers / editors.

Most publishers require acknowledgement of substantial GAI use. The EU (2024: 6) cites the following uses as potentially constituting 'substantial' contribution: "interpreting data analysis, carrying out a literature review, identifying research gaps, formulating research aims, developing hypotheses". Acknowledgements may include citing the tool used, prompts, outputs and how

outputs were used and/or adapted.

[UKRI's policy on the use of AI in application preparation and assessment](#) takes a different approach on grant application content, including explicitly instructing applicants not to cite the use of AI. Instead the focus is on applicants' responsibility of any content, alongside strict rules regarding application assessment by reviewers. Here's a summary of the main themes from the UKRI policy:

Category	Detail
Integrity	Uphold values of honesty, rigour, transparency, and open communication.
Confidentiality	Avoid sharing confidential and personal data with AI tools that do not provide privacy guarantees, unless consent has been granted.
Applicant Responsibilities	Ensure AI-generated content is not falsified, fabricated, plagiarised, or misrepresented, and look to mitigate potential AI-generated biases.
Assessor Guidelines	Must not use AI tools for assessment; should not speculate on AI use in applications.
Disclosure	Applications should not cite the use of AI tools in developing content.
Compliance	All applications must comply with intellectual property and data protection laws.
Misconduct Consequences	UKRI may reject applications, prevent future submissions, or reclaim funding for upheld misconduct allegations.

Secondary Risks

Informed Consent

If your research involves human participants and you intend to use GAI in any capacity on the data the participants produce, you should explain this in advance with them as part of the usual informed consent process.

Bias and Limitations

GAI outputs can:

- be **unreliable and inaccurate.**
    - GAI models can generate plausible-sounding but factually incorrect information, commonly referred to as 'hallucinations'. Generally, GAI as it currently stands should not be used as any kind of reliable information source, and human verification steps should be incorporated wherever accuracy is important. The [guidance on effectively using GAI for research](#) includes a section on [Prompting and mitigating hallucinations](#), with suggestions on how to make the verification process simpler.

- **replicate human biases from the underlying training data.**
    - Just like when engaging with any texts, researchers should critically evaluate GAI outputs for potential biases and avoid perpetuating or amplifying them in their work. Where relevant, researchers should acknowledge these limitations.

- **prohibit reproducibility, due to their inherently probabilistic nature**
    - GAI models can generate different outputs even for the same prompts. Where GAI is substantively used for research findings (e.g. classifying or coding texts), researchers should document their use of the tool including prompts and pre- and post-processing, to ensure transparency, but acknowledge the limitations for perfect reproducibility.

- **bring reputational risk if reproduced without due diligence**
    - Researchers are always fully accountable for all their content including anything produced with the support of GAI, so careful review is needed prior to sharing any outputs.

Environmental Impact

GAI technologies consume substantial **computing resources** which increase carbon emissions. 16 Chat GPT queries are equivalent to boiling a kettle (see "Gen AI's environmental ledger: a closer look at the carbon footprint of Chat GPT" for more examples)

Researcher Acknowledgement on use of generative AI in research

Name of researcher: xxx

Title of project: xxx

Brief summary of project (<300 words): xxx

By using Generative AI (GAI) in my research, I acknowledge that I have read and understand the LSE Guidance on the use of Generative AI for research <link pending>. I confirm that:

1. **Data Privacy and Security**

    o   I will not share personal, sensitive, or confidential data with third-party AI tools that do not provide assurances of privacy and security.

    o   If using personally identifiable information (PII) with tools other than Microsoft Copilot, I have submitted or will submit a Data Protection Impact Assessment (DPIA) and the AI Legal and Regulatory checklist <link pending>.

    o   If using a tool other than Microsoft Copilot, I have read the service's relevant Terms and Conditions and understand the risks of using it.

2. **Copyright and Intellectual Property**

    o   I will not share copyrighted materials with third-party AI providers that may retain content for training or other purposes. If such materials are necessary, I have submitted or will submit the AI Legal and Regulatory checklist <link pending>.

    o   I have consulted and will adhere to relevant publishers' and funders' guidelines regarding acceptable use of GA

3. **Acknowledgement, Authorship and Accountability**

    o   I will acknowledge the use of GAI in my research outputs where it has made a substantial contribution and wherever required by funders / publishers / local regulations.

    o   I understand that I cannot list AI as a co-author because AI systems do not have accountability.

    o   I understand that I am fully accountable for all content produced with the support of GAI.

    o   I understand that I am responsible for critically evaluating and verifying the accuracy of any GAI outputs.

    o   I understand the risk of reputational damage from reproducing GAI outputs without due diligence.

4. **Informed Consent**

    o   If using GAI tools to analyse or otherwise interact with data submitted by human research participants, appropriate detail will be provided to them in advance to ensure informed consent.

5. **Bias and Limitations**

    o   I understand that GAI outputs may exhibit biases from the training data and will critically reflect and seek to avoid perpetuating or amplifying any such biases in my work.

    o   Where there is substantial contribution, I will acknowledge the limitations of GAI in my research outputs, including inaccuracies and the inherent difficulties with reproducibility (Royal Society 2024: 40-46).

5. **Environmental Impact**

    o   I am aware of the potential environmental impact of using GAI and will use it responsibly.

Academic

Research Ethics Policy and Procedures

Table of Contents

1

Statement of Principles

1.   The Research Ethics Policy forms a part of the School's over-arching Ethics Code[1].

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[2], or involving data relating to directly identifiable human subjects (whether living or recently deceased), conducted by researchers[3]. It does not relate to other types of 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. For the purposes of this policy, 'research' is defined according to the HEFCE definition used for the Research Excellence Framework.[4]

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.

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[1] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/ethCod.pdf

[2] 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 to discuss the relevant ethics review process.

[3] 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.

[4] REF2021: *"...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*

Policy

Research ethics review procedure

7.   Researchers are required to complete a Research Ethics Review for any research which involves human participants (or involves data relating to directly identifiable human subjects) – see full list below. 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).
Ethics review is required for any research involving:

- Interviews, surveys, focus groups, experiments, observations of people, etc.
- User generated data (e.g. from discussion forums, social media, vlogs, blogs, comments on posts or articles)
- The collection or use of any personal data/identifiable information (e.g. names, email addresses, IP addresses, social media profiles or meta-data, visual material, etc.)[5]
- Any other information that could identify a living individual (or potentially lead to their identification). For example: where information from micro datasets, if combined, could lead to the identification of individuals; or where an online search for particular wording could lead to the identification of an individual
- If findings/conclusions/publication could have damaging repercussions for any individuals (reputation, stigma, bullying) or groups with protected characteristics
- Any other reason why the research might raise ethical issues

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[6], 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.[7] There are two review/approval routes: applications categorised as low risk are reviewed/approved at **Departmental/Centre** level by either the supervisor/mentor (for student applications), or by the faculty approver (for staff applications); applications categorised as higher risk require review/approval by the **Research Ethics Committee** (see §11 below). 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.   MSc student projects which are *not* for dissertations, and all undergraduate projects, are exempted from REC review[8], even where the project may contain some elements that would normally require REC review approval. They will be categorised for Departmental review and can be reviewed and approved by the relevant course convenor/supervisor/mentor. Where a course convenor/supervisor/mentor has significant concerns about a project they will have the option to refer the application to the REC should they wish to. (Course convenors may also like to consider the option for review of 'small student research projects undertaken for coursework' outlined in §21-23 below.)

11.   Applications requiring review/approval by the Research Ethics Committee are deemed to be those where the research:

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[5] Research that will only use data from publicly available archival records (including newspapers) does not require ethics review (unless there are other reasons why it may give rise to ethical issues – for example, see §34)
[6] https://www.hhs.gov/ohrp/sites/default/files/the-belmont-report-508c_FINAL.pdf
[7] https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/research-ethics/Research-Ethics-Submission-System
[8] Unless the supervisor has concerns and opts to refer the application to the REC.

- Will involve children/young people under the age of 18 or other vulnerable groups[9]; or sensitive topics that may be distressing[10]
- Will involve asking participants questions that they may find emotional or distressing
- Involves deception of participants or that is intentionally conducted without their full and informed consent at the time the study is carried out
- Entails the collection of any biometric or physiological data
- Might have negative repercussions for individuals or groups
- Will involve more than minimal risk of harm (whether emotional or physical) to the participants or the researcher(s) beyond that normally encountered in their regular activities.

Or where:
- The researcher will not obtain consent in writing[11]
- External obligations (e.g. funder requirements, data access requirements) require approval by the Research Ethics Committee

12. If your research may be subject to ethics review by an external body, please refer to § 24 below.

13. Any queries regarding the ethics review procedure should be directed to the Senior Research Ethics Manager in the first instance (via research.ethics@lse.ac.uk).

14. 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.

15. Ethical approval will normally be required before the commencement of research covered by this policy, or if required by the research funder[12], 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.

16. 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 §20 below.

17. 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[13]. 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

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[9] 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/ See also the LSE REC guidance on research with children and other vulnerable groups (see link, footnote 18)

[10] 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.

[11] Written consent does not necessarily require a hard copy or electronic signature - typed confirmation is acceptable. For online surveys, an explicit tick box for consent is also considered to be "written" consent). For researchers in the Anthropology department, the lack of written consent alone does not warrant REC review.

[12] 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.

[13] For example, in the case of fast-track funding to address global or national emergencies

expedited review should email research.ethics@lse.ac.uk. However, researchers should not expect that urgency will pre-empt the full extent of the review process.

18. 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 Senior Research Ethics 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).

19. 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 §45 below.

Timeframe for research ethics review

20. 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:

    Departmental review: researchers should check the timeframe with their Department.

    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 §17 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

21. Where students will be undertaking very small projects as part of their coursework, 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. This option should not, however, be used for student dissertations.

22. 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 in the Project title field (e.g. 'SO451 Cities by Design'), 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. Subsequently, the convenor/class

teacher must let the Research Ethics Committee know each year whether or not there are changes with ethical implications to the types of projects the students will be conducting.

23. Any questions about this option should be directed to Lyn Grove in the first instance via research.ethics@lse.ac.uk

External ethics review

24. 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 Senior Research Ethics 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).

25. 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).

26. 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.

27. 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.

28. 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

29. Ethics review forms cannot be edited once they have been approved. Where a researcher needs to make amendments to a study that has already received ethics approval, the researcher should complete an Amendments form[14] and send this to the research ethics team via research.ethics@lse.ac.uk (students should copy in the their project supervisor[15]). The research ethics team will advise whether any further review of the proposed amendment is required (either by the supervisor/Department or the Research Ethics Committee as appropriate). Once approval

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[14] https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Assets/Documents/Word/ethics-amendments-form.docx
[15] The word 'supervisor' is used to encompass project/dissertation/thesis supervisor (or academic mentor/ advisor) as appropriate.

is confirmed, the research ethics team will upload a copy of the Amendments form to the researcher's original ethics application submission online.

30. **Taught students** should avoid wherever possible having to make any amendments to their projects over the summer vacation period that will require ethics approval as their project supervisor may not be available to review these changes where required.

31. 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.

Informed consent and vulnerable groups

32. 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)[16].

33. 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[17]. 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 in Research and International Activities Policy[18] and guidance 'Research with children and other vulnerable groups'[19].

34. 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

35. 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

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[16] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/infCon.pdf

[17] 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

[18] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safResIntActPol.pdf

[19] https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Assets/Documents/PDF/ethics-working-with-children-and-vulnerable-groups-v1.pdf

must, however, ensure that they comply with any legal and ethical requirements of the country/ies where the research is taking place[20].

36.   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 in Research and International Activities Policy[21]. A risk assessment may also be required of any activities to be undertaken by local research assistants.[22]

Legal and data protection requirements

37.   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.

38.   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 .

39.   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)

Health and Social Care research

40.   Researchers working in the field of health or social care must comply with the *UK policy framework for health and social care research*[23]. 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[24]. 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.

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[20] 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
[21] https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safResIntActPol.pdf
[22] Advice on this should be sought from the Health and Safety team, Health.and.Safety@lse.ac.uk
[23] https://www.hra.nhs.uk/documents/1068/uk-policy-framework-health-social-care-research.pdf
[24] 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/

Training

41.   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.

42.   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. Students should also refer to the training available via LSE LIFE and the PhD Academy.

43.   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.

44.   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

45.   As stated in §19 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.

46.   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 Ethcis 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

47.   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[25]

48.   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

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[25] Where 'Department' is stated the same applies to research centres and institues if appropriate

approved at Departmental level or 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 has checked and confirmed that this is correct[26]

- **Auditing of ethics submissions**

  For applications approved at Departmental level, 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

49.   The Research Ethics Committee will periodically conduct a selective audit of current research projects.

50.   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.

51.   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

52.   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

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[26] As of November 2022 applciations categorised as 'Approval not required' will automatically be routed to the supervisor/approver named in B7 of the form, who should check that the student/researcher has correctly answered the questions in screen C.

of a research project, may constitute research misconduct under the School's research misconduct policy and procedures.[27]

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

Research with Chidren and other vulnerable groups (LSE guidance)
https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Assets/Documents/PDF/ethics-working-with-children-and-vulnerable-groups-v1.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/

Ethics review considerations: A quick guide for researchers (students or staff)
https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Assets/Documents/PDF/ethicsReviewConsiderations-QuickGuide.pdf

External Funding Acceptance Procedures
https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/extFunAccPro.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.

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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/

Payments and benefits to research participants (LSE guidance)
https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Assets/Documents/PDF/ethics-incentives-reimbursement-etc-v5.pdf

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

Safeguarding in Research and International Activities Policy (LSE)
https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safResIntActPol.pdf

Social media and internet data in research: ethics and consent (LSE guidance)
https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Assets/Documents/PDF/ethics-Using-internet-and-Social-media-data-v8.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

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	Nov 2014	REC, RC	Completed review of policy plus annexes A, B and C
annexB2016_v4	Nov 2016	REC Chair	Minor amendment of wording to Q6 (re DMP) in Annex B
annexB_v5	Oct 2017	RC Chair	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	August 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.
v11	Nov 2022	REC & RC, Nov 2022	Change to review procedure for taught student projects that are not for dissertations; 'Low' and 'High' risk categories re-named 'Departmental' and 'REC review' respectively
v12	May 2023	REC & RC Chair, September 2023	Inclusion of a footnote to §3 the REF2021 definition of 'research'; clarification of Amendments process, §29-31
v13	Dec 2023	RC December 2023	Clarity/list given in §7 (and footnote added regarding archival research) minor edits to §11. v13i: links corrected, March 2024

Contacts

Position	Name	Email	Notes
Senior Research Ethics Manager	Lyn Grove	l.grove@lse.ac.uk	Author

Communications and Training

Will this document be publicised through Internal Communications?	**Yes**
Will training needs arise from this policy	**Possibly**
Staff and students should contact their Department/Centre/Institute regarding any training needs	

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4

Leading for London Strategy 2023-2025

Overview:

This strategy sets out our plan to increase the impact and visibility of LSE research, expertise and civic engagement in London leading to improved partnering, income, local impact and reputational opportunities. Our key objective is to ensure increased awareness of, and support for, LSE's civic engagement and role in London (based on polling) amongst key London stakeholders by 2025, based on initial 2023 benchmarking.

The Leading for London Strategy will directly feed into achieving the ambitions of the Research for the World Strategy:

World-class Research

- Leading for London will facilitate opportunities for internal and external research engagement and collaboration, supporting interdisciplinarity, and use our established and developing stakeholder networks and partnerships to deliver meaningful research, impact and influence.

- In the London context this means working with partners across the public and private sectors to facilitate high-impact events, including discussions, roundtables and potentially mini-conferences based on LSE research. The Communications Division will support engagement across the lifetimes of relevant research projects and proactively find opportunities for impactful engagement.

Real-World Impact

- Leading for London will focus on growing and building new strategic partnerships across the capital to maximise LSE's institutional and research impact. We will cultivate new relationships and develop strategic partnerships with policymakers, businesses, industry, the third sector, civil society and alumni networks to increase the reach and relevance of our research.

- In the London context this will include with City Hall, London Councils, individual boroughs, Business London, the Centre for London, and London-based community groups and campaign organisations.

Lead the Social Sciences

- Leading for London will deliver the 'Enhancing civic engagement' workstream of the Research for the World strategy. This will contribute to the extension of our influence to better champion the value of the social sciences.

- We will be mapping our key stakeholders across the capital and proactively informing them of our strategy and their opportunities for engagement with LSE.

Our three key areas of activity will be:

1. **Championing and coordinating London-based engagement and London-focused research**

- Supporting a renewed focus on encouraging London and UK-based research, evidence and expertise, supported by the creation of an LSE London Civic Forum.
.
- Continuing and expanding LSE London-focused events, policy, education (including schools) and communications programme.

- Ensuring a single point of contact to ensure that civic engagement activities across the School are coordinated and opportunities for new initiatives supported, working closely with, and integrating

where appropriate, the student civic engagement strand and ensuring continued close shared communication through the life of the project.
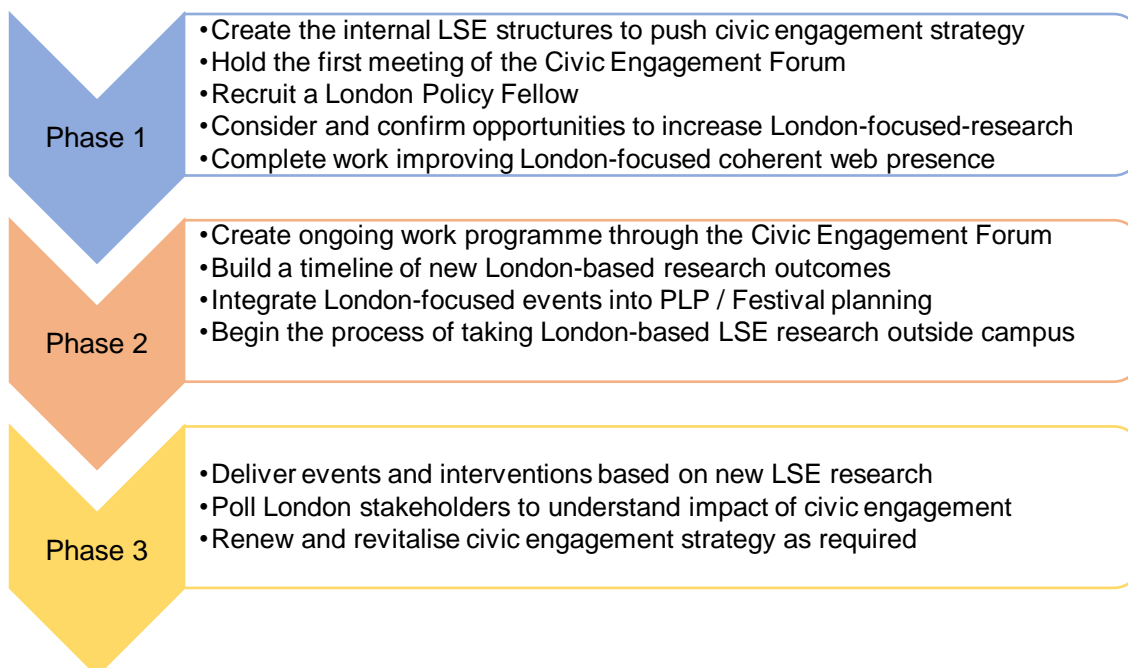
2. **Developing capacity**

- Enhancing LSE's London-facing research offer through the work of a new London policy fellow, who will identify and work with relevant LSE academics to develop London-specific elements/asks to their research.

- Increasing income for place-based research and innovation activities, accessing local and national funding for research and innovation.

3. **Strategic collaboration**

- Developing Leading for London Strategy to include benchmarking of other London universities and key civic universities where possible, and identification of collaboration opportunities.

- Develop an effective network of regional stakeholders to identify place-based needs.

Draft Timeline

Phase 1
- Create the internal LSE structures to push civic engagement strategy
- Hold the first meeting of the Civic Engagement Forum
- Recruit a London Policy Fellow
- Consider and confirm opportunities to increase London-focused-research
- Complete work improving London-focused coherent web presence

Phase 2
- Create ongoing work programme through the Civic Engagement Forum
- Build a timeline of new London-based research outcomes
- Integrate London-focused events into PLP / Festival planning
- Begin the process of taking London-based LSE research outside campus

Phase 3
- Deliver events and interventions based on new LSE research
- Poll London stakeholders to understand impact of civic engagement
- Renew and revitalise civic engagement strategy as required

This strategy will be led by Professor Tony Travers, Academic Lead for Leading for London, supported by Greg Taylor, Head of Public Affairs and his team in collaboration with the wider Communications Division, PAGE (including Corporate Engagement), Research and Innovation (including LSE Generate), Communication Division, Eden Centre (including LSE Student Futures Civic Engagement strand), Estates and faculty.

Context:

Civic engagement has in recent years become a core part of universities' communications strategies. The role of universities in supporting their communities' economic, educational and social fabric has been well-rehearsed by ministers, regional leaders, think tanks, and by universities themselves, and is heavily referenced in the Government's Levelling Up White Paper, published in February 2022.

The Civic Universities Commission, chaired by Lord Kerslake, former Head of the Civil Service, reported in 2019 with recommendations to universities and government on how to prioritise the civic role of engagement. One element of local engagement and impact, that has been heavily supported by the Government and ties into the current levelling up ambitions, has been the opening of maths schools – Cambridge, Imperial and Leeds are opening them in September, King's, Liverpool and Lancaster have already opened them, and others are on the way.

Furthermore, the Research Excellence Framework (REF) was the first exercise to assess the impact of research outside of academia. Impact was defined as '*an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia*'. Case studies have included impact on local communities and policy making.

LSE has worked with London Higher to demonstrate where we are having impact in London communities, contributing to the London Heat Map which covers various types of engagement by many of London's universities.

LSE's Situation:

While not an anchor institution in its community, as regional universities such as Warwick and York are, LSE still has a significant impact on its community: in its immediate surroundings, in its home boroughs, and in London more widely.

As well as the employment opportunities that LSE offers to Londoners, the School also has:

- research undertaken by LSE London, led by Prof Tony Travers, which focuses especially on planning and housing challenges facing the capital;
- other research projects undertaken across the School – on issues from the design of public spaces to indoor air pollution and adult social care provision, which the Communication Division work to maximise the impact and visibility of across communities;
- a world-leading events programme open to members of the public;
- an award-winning, and evolving, public realm: both on the main campus and beyond;
- a volunteering programme that focuses on local initiatives;
- a Widening Participation programme focused on local schools, which is being relaunched in line with the Government's levelling up objectives;
- a Careers Department that provides opportunities for students across London, including in Parliament;
- initiatives run by individual departments, such as Economics, which run alongside the WP programme and focus on bringing LSE expertise into schools.

In 2019 LSE committed HEIF funding to a *Leading for London* project, overseen by Professor Tony Travers, to coordinate public affairs-focused LSE research activity into community and policy-focused events for our London community.

Since then the Public Affairs team has delivered and hosted several London-focused events, covering issues including devolution, post-pandemic recovery, public health, and homelessness, as well as hosting our inaugural *LSE in London* reception in summer 2022. A key challenge was finding contemporary London-focused research and persuading academics to engage with the London community though Public Affairs-organised events.

Over the past year we have focused on bringing together information about all London-relevant work taking place at LSE, supporting individual academics on their London-relevant work, building our relationships with our local boroughs, and ensuring that LSE is represented at events and debates across the capital (through

BusinessLDN, City Hall, the Centre for London, London Higher, the APPG for London and other organisations). A key challenge has been the limited research available to be supported and amplified.

LSE is a contributor and founder of the London Research and Policy Partnership (LRaPP), an opportunity to disseminate London-based research amongst policymakers in the capital. This opportunity could be maximised through further efforts to secure London-focused research at LSE.

LSE's Reputation – Recent Polling

- At the end of 2022 the Public Affairs team commissioned Savanta to poll our political stakeholders on London's civic reputation in the capital: what we do well and what can be done better.

- This is our first polling since the launch of the *Leading for London* programme, and shows that LSE's reputation is positive amongst our political audiences, that our research and events are having cut-through, and that there is opportunity to be even more targeted in our approaches, as well as further boost our reputation amongst our local MPs, councillors and businesses.

- While this focused primarily on public affairs work, the findings offer valuable context for the School's wider engagement and reputation in the capital.

- Broadly, LSE research is seen as a valuable resource for policy makers and influencers in London. We have a good reputation amongst London stakeholders though they would not necessarily actively reach out to us – unless there is a strong personal relationship with specific stakeholders. **This demonstrates the need for proactive communications work to reach our target audiences**, including broad social media efforts as well as individually targeted approaches.

- The importance of individual academics in building visibility of research was highlighted; they serve as important influencers in raising the profile of both the research, and LSE as a whole. Individual reputations enhance credibility, and therefore influence audiences and policy. Our stakeholders are more likely to follow individual academics rather than institutions. **This suggests it is important for LSE's civic mission to encourage and support existing and new academics to focus in some capacity on challenges in the capital.**

- Polling indicates we should focus on **showcasing specific examples of our impact** with these audiences. When pushed to name an area of research, quality of staff was noted rather than specific research. Assembly Members found it "quite hard" to point to specific LSE research, and there is a perception that LSE research is theoretical, limiting the ease of application the research and having real-world impact. The PA team craft policy-focused briefs to aid the understanding of research **and renewed and improved use of our London webpages, as well as increased visibility of our civic engagement online and through social media, will be useful.**

- In terms of future topic areas in London, local government and policing were explicitly mentioned as LSE research having more of a role to play in addressing current issues. New routes for sectors, places and communities in London seem like a good focus. Most spoke about LSE reach on a national level rather than London focused in terms of geographic scope.

- Twitter or LinkedIn were noted as media that could assist in influencing London politicians: the value of face-to-face communication was also emphasised. Local context and local statistics are important when dealing with London politicians and civil servants to broker new relationships. **This emphasises the ongoing need for LSE to take a rounded approach to developing our existing relationships as well as using it as a 'pull' tool for our audiences to visually see our activity.**

Key Stakeholders

- **LSE already has a strong reputation within the London community. We want to build on this, cement it and enhance it. Key stakeholders we will continue to engage with include:**
  - London MPs
  - London Peers
  - The London All Party Parliamentary Group
  - The Mayor of London
  - Deputy Mayors
  - Senior City Hall officials.
  - London Assembly Members
  - London council leaders
  - London council cabinet members
  - London Councils
  - BusinessLDN
  - The London Chamber of Commerce and Industry
  - Think tanks including the Centre for London
  - Other think tanks with London-related research (Onward, Resolution Foundation etc)
  - Charities and campaign groups working in London

Plans and opportunities

1. **Championing and coordinating London-based engagement and London-focused research**

- **Continuing and expanding our London-focused events, policy and communications programme**, bringing policymakers and practitioners together with LSE researchers for inter-disciplinary discussions relevant to the challenges that the London political community faces.

- Encourage **London-based research, evidence and expertise**. This could be through new funding opportunities or competitions, a focus on London-based activities in existing funding opportunities, or increased support and amplification for related work.

- Create a new **London Civic Forum at LSE**, chaired by the Academic Lead for Leading for London and supported by the Head of Public Affairs. The termly forum meeting will bring together Comms, Research, Widening Participation, Careers, Corporate Engagement, Estates, LSE London, and other departments and research centres as appropriate. This could involve external stakeholders, including contacts from Westminster City Council, London Councils and others – either as fulltime members or on a rolling basis dependent on discussions.

- Provide a link between **students** and potential opportunities and London's government, in collaboration with the LSE Student Futures Civic Engagement strand.

- **Public lecture programme events to be focused on London issues**. These could involve the Mayor of London, national London politicians, council leaders, businesses, as well as beyond the capital, for example to debate tensions between London and the regions. This could also involve PhD / Masters students doing related research. Enhanced efforts should be made to **advertise PLP events** within areas of London and communities not traditionally targeted. The annual **LSE Festival** should incorporate at least one London-specific event every year, which would be advertised as part of the School's civic engagement.

- **LSE in London webpage** to become a one-stop-shop for LSE's London impact. This could incorporate our own **London engagement map**, setting out case studies of where LSE is making a difference across the capital. This could be used to engage with London MPs, Assembly Members and council leaders, as well as other stakeholders.

2.   Developing capacity

- Expanding the remit of the HEIF-funded **London Communications Coordinator** to cover Schoolwide communications outside the Public Affairs sphere, including responsibility for keeping LSE's London webpages updated and liaising across the Comms Division to maximise opportunities and reach.

- Recruitment of a new **London Policy Fellow** who will identify and work with relevant LSE academics to develop London-specific elements/asks to their research as well as seeking out opportunities for funding, working with the Research Development Team to link relevant researchers and opportunities.

3.   Strategic collaboration

- Conduct a **benchmarking exercise of other London universities** and key civic universities and identify collaboration opportunities.

- **Additional opportunities to work with London stakeholders** should be pursued to maximise our visibility and reach new audiences. Partnerships with the Centre for London, London Councils, the Centre for Cities and others; as well as discussion with the GLA on sponsoring and co-hosting events with them, will open up new opportunities for engagement.

- Seek out and develop partnerships with **London-based businesses** and business leaders on events to highlight key challenges in the capital and increase our visibility. This could feasibly be done in conjunction with **a London media partner** (eg: the Standard) to form the backbone of a mini-commission type series of events looking at the economic challenges coming up.

- Opportunities should be considered to involve local communities, schools and colleges in our **developments and award-winning campus**. This could include looking at opportunities to bring in local architecture students to study our new buildings, bringing local schools in for the renaming of the 32 LIF and other buildings, engaging local schools in keynote events (PLP events etc).

EVALUATION

Draft KPIs

- One meeting of the Civic Engagement Forum per term with clear outcomes caught and disseminated.
- An LSE 100 list of top civic engagement stakeholders to be created in term one and updated termly.
- Two policy papers based on LSE research to have been drafted and disseminated per term.
- One Leading for London event to have been delivered per term, focused on new research where possible and potentially with partners.
- Engagement with 200 London stakeholders per year through at least 7 events.
- The Leading for London section of the LSE website to be updated at least once a week with new content.
- A Leading for London piece of social media content to be created / disseminated once a week.

ANNEX:

Civic Engagement by London Universities

King's College

- King's, in collaboration with Lambeth, Southwark and Westminster Councils, invites local charities and organisations to propose ideas for positively changing their local communities through the Kings Civic Challenge.

- Accepted proposals receive support from a King's academic to develop their proposals, and after about 6 months judges vote on which should receive funding and further support to implement their proposal.

- Councillors sit on the judges panel and also influence the themes for each annual civic challenge (so one year might focus on health, another on education), and these proposals are launched in their boroughs. This is in addition a 'Kings Vision 2029' commitment to pro-active civic engagement in London with various associated programmes currently running.

UCL

UCL does not have a specific civic engagement plan for London, though this work is covered by three ongoing and significant engagements with London:

- The UCL Hospitals NHS Foundation Trust covers specialist hospitals and a big hospital (UCH); the trust does both teaching and biomedical research, both of which are heavily inter-twined with UCL. (There is also an Imperial College NHS Trust and a King's College Hospital NHS Trust.)

- UCL Culture, an umbrella organisation that manages their museums and theatres (both doubling as opportunities for school trips).

- UCL East, a new campus in the Olympic Park, with lots of investment in associated infrastructure (so buildings covering both teaching and research etc.) and community engagement.

Imperial

- Imperial centres its civic engagement strategy on its STEM expertise, arguing it can deliver the most value by making it accessible to as much of society as possible. It therefore frames its engagement as engaging *people* rather than organisations or institutions.

- That means working closely with lots of different schools to boost attainment and interest in STEM subjects, cultural events ("the Great Exhibition Road Festival" and others), engaging with communities around campus (especially White City), medical research with the Imperial College NHS Trust, Tech literacy programmes, and Widening Participation and Volunteering programmes. They set out engagement metrics to show their success

Research Committee Meeting, 26 June 2024

Agenda Point 4: Spotlight on Enhancing Civic Engagement

(Pgs 24-26 of the agenda)

Purpose:

- We were asked to provide a short spotlight to demonstrate an example of London-based research impact work happening in the School.

- This is an opportunity to show how External Comms / Public Affairs are pushing ahead with building the foundations of our civic engagement strategy, and growing our networks in London to allow us to achieve the goal of the Research for the World Strategy: "Grow engagement at the community level, particularly in London" (pg8).

Background:

- Our "Leading for London" strategy is overseen by Tony Travers, and is focused on inserting LSE research and expertise into London policymaking and civic discourse on tackling the capital's challenges and ensuring its future success.

- There is wide appreciation that LSE does not have a significant spread of academic expertise focused on London specifically (and the RftW Strategy has helped us tackle this through the hiring of the new London Policy Fellow).

- However, we do have outstanding broad expertise on priority issues for London including devolution, the economy, skills and infrastructure. We have therefore used LSE's enormous convening power to bring together significant players in London's politics and community engagement to have a free-flowing, guided discussion on big-ticket questions.

- Chaired by Tony Travers, we have held 3 private roundtables covering the future of London's politics, devolution, and economy. We have showcased research from Neil Lee, Anna Valero, Ben Rogers and others, as well as the broader work of Cities, CEP, CASE and others.

- The events have brought influential names to LSE including – Paul Scully MP (former Minister for London), Karen Buck MP (former Shadow Pensions Minister), Jules Pipe (Deputy Mayor of London for Planning), Alison Griffin (Chief Exec of London Councils), Jeremy Skinner (the GLA's Assistant Director of Strategy, Insight, and Intelligence). Each half-day roundtable has welcomed around 20 – 25 participants and has taken place under the Chatham House Rule, with general write ups for the "LSE in London" webpage.

- The sessions have incorporated presentations from internal and external researchers (including Paul Swinney, the Research Director at the Centre for Cities and a senior civil servant from DLUHC), and have cemented LSE's reputation and place at the centre of London-wide policy discussions.

- They have provided an excellent base for us to consider LSE's next steps in terms of London engagement and research (*you may want to reference the policy labs workstream here*) and the feedback we have generated from participants has been universally positive, with ideas for new subjects to tackle sourced.

Next Steps

- The general election has given us the opportunity to take stock, and the arrival of the new London Policy Fellow (Jenevieve Treadwell, who has joined us from the influential think tank Onward) gives us increased capacity to take the ideas generated for research, data analysis, and think pieces forward once the dust settled and the capital's relationship with the new government becomes more apparent.

- We have analysed the manifestos accordingly, and are considering a blogpost looking at what the "winning" one might mean for London broadly which will flag relevant LSE research.

- We will also be looking at how to involve more community-level organisations and leaders in future events, perhaps focused on case-study examples of specific local geographies within the capital.

We would be very grateful for any thoughts from the Research Committee on potential future events (we are working on one on "The Future of Crime in London" and another on "The Future of London's Relations with the Regions").