



# The Governance of Research

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# 1. Organisational context

- 1.1 The founding Articles of Association establishes the Object of the School '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)).
- 1.2 The means by which the School pursues this Object are set out in its various strategies and policies for research, knowledge exchange and impact. Research is organised and governed in the School in ways intended best to support the achievement of those strategies: Departments are organised in ways best to support strategies for fundamental disciplinary and/or interdisciplinary research; Centres in ways best to support interdisciplinary and applied research, and knowledge exchange.
- 1.3 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 of the individual member of staff, or of an organisational entity. Research is taken to include knowledge exchange and impact.

# 2. Organisational Entities

- 2.1 There are three major distinct organisational entities where academic activity is carried out in the School<sup>1</sup>:
  - Departments: the central loci of teaching, research and permanent faculty appointments.
  - Research Centres: specialist research initiatives operating under Research Committee supervision. Most are linked to a 'parent' Department, though some are organised on a School-wide basis. In varying degrees, Centres can also, or may primarily, take on knowledge exchange and public 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.
  - Institutes: inter-disciplinary units that bring together faculty members from multiple Departments (and Centres) for multi-functional programmes of research, teaching and public engagement. They do not make permanent faculty appointments.
- 2.2 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. Definitive lists of organisational entities and their names are provided in Annexes C, G, and J.

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<sup>1</sup> This section is a paraphrase of part of the '(Revised) Framework for Establishing Institutes', Paper AB/15, approved by Academic Board on 29 January 2014

- 2.3 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.
- 2.4 Research Centres are usually created as a result of external funding awards and are often, but not always, multi-disciplinary and can be comprised of individuals from more than one Department. The external funding usually enables academic staff to be bought out of some of their Departmental activities to work on research programmes in the Centre. For many research staff members of the School, the Research Centre is the primary site of affiliation.
- 2.5 Institutes are multi-disciplinary units. They are intended to support themselves through external funding which enables academic staff to be bought out of some of their Departmental activities to work on research programmes in the Institute.

## 3. Research by Individuals

- 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).
- 3.2 Individuals conducting research on behalf of the School are subject to the School's research policies, which may vary from time to time. These include (but are not limited to) the Research Ethics Policy<sup>2</sup> and Code of Research Conduct<sup>3</sup>. 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.
- 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.

## 4. Research within organisational entities

### 4.1. Departments

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 APRC-led review with a view to assessing the research

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<sup>2</sup> <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/resEthPolPro.pdf>

<sup>3</sup> <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/codResCon.pdf>

contribution and research strategy (including for Research Students) of Departments. Reports from each APRC-led review will be considered by Research Committee.

## 4.2. Research Centres

The School's Research Committee is responsible for the establishment, review and termination of Research Centres, or for recommending the same. Procedures and further information are attached as Annexes A to D.

## 4.3 Institutes

Institutes are reviewed by the Directorate in its Annual Monitoring process.

## 4.4 Other research entities

4.4.1 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.

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

4.4.3. A basic list of DRUs and iDRUs and of Recognised Groups can be found in Annexes G and J of this document. A more exhaustive list, including the names of Heads and dates of approval, is maintained by Research and Innovation.

## 4.5 Departmental and inter-Departmental Research Units

4.5.1 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 PDR. The 'lead administrative Unit' for governance and financial purposes should normally be that of the first iDRU Director.

4.5.2 Departmental Research Units and inter-Departmental Research Units will be established and reviewed by Departments, subject to approval by and oversight of

the School's Research Committee. Details on the establishment, review and disestablishment of Departmental Research Units are contained in Annexes E to H.

## 4.6 Recognised Groups

4.6.1 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.

4.6.2 Recognised Groups will be established and reviewed by Departments, Research Centres or Institutes (as appropriate), subject to approval by and oversight of the School's Research Committee. Details on the establishment, review and disestablishment of Recognised Groups are contained in Annex I.

## 5. Summary of responsibilities, accountabilities and benefits

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

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. Departmental Research Units, and Recognised Groups do not normally have a separate space entitlement and are accommodated within their host unit's allocation.

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

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

Recognised Group	Department/Research Centre/Institute (with report to School Research Committee)	Website presence
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5.4 Those responsible for managing any academic unit in the School, including those listed in table 5.3, 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 and associated policies and procedures. An overview of relevant School-wide rules and policies can be found on the School's [Research Integrity web page](#)<sup>4</sup>.

## 6. Changes to this Policy

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

*Approved by Academic Board 22 March 2017; changes to Annexes D and E were approved by the Academic Board in 2019. Further changes were approved by the Academic Board on 10 February, 2021. Last changes - to Annexes A and J - were confirmed by the VCAB on behalf of the Academic Board in December 2021.*

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<sup>4</sup> <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>

## Research Centres

### 1. Establishment of Research Centres

- 1.1 Research Centres exist to manage and promote a coherent programme of research and/or to foster knowledge exchange and the public dissemination of research, often but not always interdisciplinary (and cross-departmental) by nature, normally have substantial levels of external funding, and can employ a significant number of research staff<sup>5</sup>. Research Centres are also expected to have an externally-facing profile, adding value to the School beyond the work carried out in Departments and to be active in knowledge exchange and impact.
- 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 public engagement and impact 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<sup>6</sup>.
- 1.3 Proposals will be evaluated against the following criteria:
- the value of the research programme or knowledge exchange/engagement 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 Incentives Policy 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.
- 1.4 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.
- 1.5 The proposal should set out:
- the Centre's mission;
  - the Centre's objectives;

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<sup>5</sup> Adapted from the Hunter Report, Paper AB/29, approved by Academic Board on 19 June 2013

<sup>6</sup> <https://info.lse.ac.uk/staff/divisions/Secretarys-Division/Assets/Documents/Governance/Council/Scheme-of-Delegation-Approved-Nov-2019.pdf>



- the Centre's intellectual history: whether the proposal represents a formalization of a loose structure or a new departure for the School; the track record the School has within the broad research area;
- the wider research environment: whether comparable centres exist elsewhere and more generally a picture of related research in the UK and globally;
- the potential contribution the School: in the context of the wider research environment, what "added value" the Centre will bring to the research community at the School and externally; the contribution the Centre will make to future Research Excellence Framework (REF) exercises (outputs and impact).

1.6 In addition, the proposal should set out:

- management and governance arrangements;
- a 5 year financial plan, including any assumptions about external funding;
- who will direct the Centre and his/her qualifications for the role;
- the main affiliated Department (usually that which is closest to the Research Centre's research agenda).

1.7 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.

## 2. Governance of Research Centres

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 do 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 who will contribute to the submission to the REF Unit of Assessment for which the Department is principally responsible, according to the rules of submission applying at the time.
- 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 Pro-Director for Research (PDR) will have authority to over-rule the Head of Department in exceptional circumstances and in the interests of the School as a whole. [Annex C](#) sets out the list of approved Research Centres and their parent Departments.

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.

2.3 The Advisory Board exists to provide the Director of the Centre 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 Director of the Centre 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. Annex K sets out further details on Advisory Board membership, governance and terms of reference.

### 3. Template Terms of Reference for the Advisory Board

3.1 Guidance on the terms of reference of any Advisory Board to any unit within the School, including terms and conditions of membership, are provided in Annex K and must be complied with unless the Research Committee and School Secretary agree to their variation. In addition, the terms of reference for Advisory Boards of Research Committees should normally include provision for the Board to exercise the following functions:

- a) To advise on the general strategy for the Research Centre in order to achieve its objectives, including fundraising.
- b) To advise on actions to be taken to advance specific agendas of the Research Centre, including its knowledge, engagement and impact activities, to identify areas where the Advisory Board considers there is a lack of appropriate progress or anticipates future difficulties in the Centre's achievement of its objectives, and provide advice on how these may be addressed.
- c) To advise on issues referred to the Board by the Research Centre's Management Committee. These may include: (i) proposed modifications to the Research Centre's budget; (ii) specific communication and dissemination activities.
- d) To comment on the draft Annual Report where Annual Reports are required by the funder.

### 4. Management of Research Centres

4.1 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.

- 4.2 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 [see [Annex C](#)] will be members of the Committee ex-officio, and each will be entitled to send a representative to attend meetings of the Committee. Representatives of other interested Departments can be encouraged to 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 Director of the Centre. 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 in [Annex K](#).
- 4.3 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 Director of the Centre; and reporting to both the Centre's Advisory Board and the School's Research Committee. Where a Centre hosts another Centre (for example to share costs and / or as a result of separate bids for external funding), the two Centres may share a Management Committee.

## 5. Template Terms of Reference for the Management Committee

- 5.1 The standard terms of reference, which may be varied by approval of the Research Committee, are:
- a) To establish and manage the overall strategic direction for the Centre and its activities, in accordance with its objectives.
  - b) To set and, as necessary, amend the Centre's objectives.
  - c) To agree an annual research plan and annual budget for the Centre's activities.
  - d) To review overall management and delivery of the Centre's activities against annual plans and budgets.
  - e) To oversee the Centre's compliance with LSE procedures and policies.

5.2 The Management Committee is required to meet as frequently as necessary to exercise its functions, and at least twice a year. The Management Committee can set its own rules relating to quorum. Adequate notice of meetings and of the agenda and papers for meetings should always be provided to members of the Committee.

## 6. Review of Research Centres

6.1 Research Committee is responsible for undertaking formal reviews of all Research Centres every five years, with an interim monitoring in between.

### 6.2 Full Review of Research Centres

6.2.1 Full Reviews are held every five years and as far as possible are timed to coincide with the life cycle of a Centre's main source of external funding (e.g. the five-year ESRC review). Full 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. That is, research according to the quality of the research; knowledge exchange by the quality of the activity and the reach and significance of the impacts, and the extent to which the Centre has furthered the reach of the research of the faculty of the School. Centre Directors and the Head of the affiliated Department(s) will be asked to nominate two appropriate external assessors chosen from the departmental list of external assessors. A core set of data is produced centrally for both interim monitoring and the five yearly review. [Annex D](#) is a list of the types of data which are provided along with an indication of which professional services divisions are responsible for providing the information.

6.2.2 In the Full Review, Centres are asked to confirm the data and to provide a qualitative commentary (including raising any issues) on 6 key areas:

- Future strategic direction
- Quality of research and publishing strategy
- Knowledge exchange and impact
- Financial viability
- Career development of research staff
- Research governance, integrity and ethics

6.2.3 Full Reviews are conducted by a small review team led by the PDR and comprising the Director of the Research Division and one member of the Research Committee. They may also involve others within the School or external members. Centre Directors meet with the review group to discuss any issues raised in the quantitative data and qualitative commentary. The review group may also meet with research staff during the in full 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 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 or by the external

assessor.

6.2.4 The HOD of the affiliated department should receive the commentary provided by the Research Centre to the reviewers, a copy of the reports of the previous Full Review and Interim Monitoring and the data set out in [Annex D](#).

6.2.5 The review team may hold a separate meeting with the Head of the Department to which the Centre is affiliated about 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.

6.2.6 The primary purpose of the Full Review is to assist the development of the Centre, in terms of its strategy and goals, and identify potential improvements.

6.2.7 Research Committee retains the ability to undertake a Full 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 1.3 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.

6.2.8 Research Committee will decide on the basis of the full review whether:

- (i) to approve the continuation of the Centre for a determined period (normally five years);
- (ii) to approve the continuation of the Centre for a determined period (normally five 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 recommendation that it thinks to be appropriate.

## 6.3 Interim monitoring of Research Centres

6.3.1 Interim monitoring is held close to the mid-point between full reviews. Interim Monitoring by Research Committee is conducted by the PDR and Director of Research Division who then report to Research Committee. The data set out in [Annex D](#) will be provided to Centres for their confirmation, for interim monitoring. Centre Directors are asked to complete a qualitative commentary for interim monitoring (including raising any issues) on 6 key areas:

- Progress and future strategic direction
- Quality of research and publishing strategy
- Knowledge exchange and impact
- Financial viability

- Career development of research staff
- Research governance, integrity and ethics.

6.3.2 The Centre Director(s) meets with the monitoring group to discuss any issues raised in the data and commentary. A report from the monitoring group is discussed at a meeting of the Research Committee, with the Chair highlighting any issues discussed with the Centre Director(s) as appropriate.

6.3.4 The purpose of the Interim Monitoring is to confirm the quantitative data, to ensure that the Centre is taking forward the plans agreed in the previous Full Review and to bring to light any deviations or changes or other issues that have arisen since the last full review and any issues identified to require attention at the next Full Review.

## 6.4 ESRC/UKRI Centre reviews

6.4.1 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 an external assessor if (as with ESRC) the Centre has already been assessed externally. Nor are they required to complete the standard template for Interim Monitoring or Full 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.

## 7. Succession planning

7.1 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 five years is an appropriate initial period.

# Template: Proposal to establish a Research Centre

## Background

Research Centres exist to manage and promote a coherent programme of research and/or to foster knowledge exchange and the public dissemination of research, often but not always interdisciplinary (and cross-departmental) by nature, normally have substantial levels of external funding, and can employ a significant number of research staff<sup>7</sup>. Research Centres are also expected to have an externally-facing profile, adding value to the School beyond the work carried out in Departments and to be active in knowledge exchange and impact.

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 public engagement and impact agenda.

Proposals will be evaluated against the following criteria:

- the value of the research programme or knowledge exchange/engagement 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 Incentives Policy 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.

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.

Further information on the governance of Research Centres can be found in the Governance of Research available here:

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

Please make your proposal in the following format, ensuring that you answer all questions. Please help Committee members by differentiating your answers from the questions, e.g. by boldening or underlining.

Please return the completed form to [Casimira Headley-Walker](#), Committees and Governance Manager, Research and Innovation Division, in Word format.

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<sup>7</sup> Adapted from the Hunter Report, Paper AB/29, approved by Academic Board on 19 June 2013

## 1. **General**

- 1.1 Title of proposed Centre
- 1.2 Name(s) of proposer(s)
- 1.3 Department(s)
- 1.4 Names of at least two Heads of Department who support the proposal. Please attach their letters of support as Annex A. These letters should if possible confirm that there is broad Departmental support for the proposal, and indicate by which means this has been secured. In addition, the proposer(s) should demonstrate that they have consulted those Departments, Centres or Institutes that may have a material interest in the proposal.
- 1.5 Proposed "parent" Department for the Centre.

## 2. **Objectives**

- 2.1 What are the medium-term objectives of the Centre? Provide a brief mission statement (maximum one side of A4).
- 2.2 Against what specific criteria would the proposer wish to be judged at the formal review stage (in addition to the criteria set by Research Committee of financial viability, publication record etc)?

## 3. **Context**

- 3.1 Has an informal structure been in existence before now, or does this proposal represent a new departure for the proposer(s)?
- 3.2 What comparable Centres exist elsewhere? Provide a summary of their objectives.
- 3.3 What "added value" will the proposed Centre bring to the research community (a) at the School, and (b) elsewhere?
- 3.4 What evidence is there that there would be wider external community support for the proposed Centre?
- 3.5 Where do you envisage the Centre's work would fit in the next Research Excellence Framework (REF)? What arrangements will be put in place to ensure liaison with other units to be included in your REF unit of assessment?

## 4. **Rationale**

Why do existing patterns of research not meet the perceived needs of the Centre, e.g. lone scholar, informal research group etc., i.e. in what way would the establishment of a Centre enhance the School's activities in this area?



**5. Support from the School Community**

5.1 In addition to the documents requested at 1.4, please attach as Annex B letters of support from academic/research colleagues willing to invest their time in the Centre. These letters should provide specific commitments in terms of time and provide details of the form which the commitment would take.

5.2 In the view of the proposer, how does the proposed Centre's work link with or complement other research at the School?

**6. Director and management structure**

6.1 Who will be the Centre Director? What are his/her qualifications for the role?

6.2 What management structure is proposed? What Advisory Committee membership is envisaged?

6.3 What procedure is proposed for reviewing the term of the Director?

**7. Resources Available**

What financial/other support is available from external sources? This may include funding promises, infrastructure/database support, or the commitment of contract research staff to become involved in the Centre's funded research work.

**8. Additional Information**

This section is reserved for any other information you may wish to make available to Research Committee.

*Updated October 2021*

## Research Centres and their Parent Departments as at January 2023

<b>Research Centre</b>	<b>Departmental affiliation(s)</b>
Care Policy and Evaluation Centre (CPEC)	Department of Health Policy
Centre for Analysis of Social Exclusion (CASE)	Department of Social Policy
Centre for Climate Change Economics and Policy (CCCEP)	This Centre sits within the Grantham Research Institute [see below]
TPI Global Climate Transition Centre	This Centre sits within the Grantham Research Institute [see below]
Centre for Economic Performance (CEP)	Department of Economics
Centre for Philosophy of Natural and Social Sciences (CPNSS)	Department of Philosophy
Centre for Women, Peace and Security	Department of International Relations
Financial Markets Group (FMG)	Department of Finance
Grantham Research Institute on Climate Change and the Environment	The Institute is not accountable to a department, but is closely associated with the Department of Geography and the Environment
International Growth Centre	Department of Economics
LSE Cities	Department of Sociology and the School of Public Policy
LSE Health	Department of Health Policy
LSE IDEAS	Departments of International History and International Relations
Centre for Macroeconomics	Department of Economics
Middle East Centre	Department of International Relations
Saw Swee Hock Southeast Asia Centre	Department of Geography and Environment
Suntory and Toyota International Centres for Economics and Related Disciplines (STICERD)	Department of Economics
Phelan United States Centre	Department of International Relations

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## Data to be provided centrally for Research Centre full reviews

### Research quality data

Staff submitted to REF 2014	R&I
Staff eligible for submission to REF 2021	R&I
Citations for the most significant outputs produced by research staff and academic staff affiliated to the Centre, as identified by the Centre	Library

### KEI data

ICs submitted to REF 2014 generated by the Centre	R&I
Draft ICs under consideration for REF 2021	R&I
HEIF applications made and success rates (plus details of HEIF awards made)	R&I

### Staff data

Research staff: names, salary bands, FTE, funding source, start date of employment, whether their current contract is fixed term (if so, end date) or open ended, and whether their contract would make them eligible for the REF	HR
Academic staff affiliated to the Centre	Centres' websites
Support staff: names, salary bands, FTE, funding source, start date of employment, whether current contract is fixed term (if so, end date) or open ended.	HR
Analysis of equality and diversity of staff including of salary bands and rates of promotion in the last 5 years	HR
Data on which research staff have received CDRs	HR
Data on which research staff have been considered for/ awarded promotion	HR

### Financial data

Full set of accounts, as agreed by RD, Finance Division and Planning Unit	R&I
Research income per grant-funded researcher	R&I
Grant applications and success rates	R&I
Grants applied for and awaiting funding decision	R&I
Current RIIF funds available to the Centre	R&I

### Research ethics

Applications to the Research Ethics Committee over the last 5 years, with a summary of issues and outcomes	R&I
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### Existing reports

Reports to funders	R&I/ Centre
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LSE internal audit reports where these have been conducted	Internal Audit
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## Data to be provided centrally for Research Centre interim monitoring

### Staff data

Research staff: names, salary bands, FTE, funding source, start date of employment, whether their current contract is fixed term (if so, end date) or open ended, and whether their contract would make them eligible for the REF	HR
Academic staff affiliated to the Centre	Centres' websites
Support staff: names, salary bands, FTE, funding source, start date of employment, whether current contract is fixed term (if so, end date) or open ended.	HR
Analysis of equality and diversity of staff including of salary bands and rates of promotion in the last 5 years	HR

### Financial data

Full set of accounts, as agreed by RD, Finance Division and Planning Unit	R&I
Research income per grant-funded researcher	R&I
Grant applications and success rates	R&I
Grants applied for and awaiting funding decision	R&I
Current RIIF funds available to the Centre	R&I

## Departmental Research Units

### 1. Definition of Departmental and inter-Departmental Research Units

See para. 4.5 of the main Policy.

### 2. Establishment of a Departmental or inter-Departmental Research Unit

2.1 Unless the establishment of the DRU or iDRU follows the recommendation of Research Committee following the Full 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. 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. The HOD(s) should note the anticipated duration of the DRU or iDRU, which is expected to be three years or shorter depending on the duration of the proposed unit's main source of funding. 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 on relating to budgets and financial controls including apportionment of RIIF funding and other matters relating to the governance and operation of the iDRU which the Research Committee may require. To initiate a request for DRU or iDRU status the Head(s) of Department should submit an application to Research Committee, as set out in [Annex F](#). A full list of current DRUs and iDRUs approved by Research Committee is attached at [Annex G](#).

### 3. Review of Departmental and inter-Departmental Research Units

3.1 DRUs and iDRUs should be subject to a formal and regular process of scrutiny. The Director of a DRU is expected to submit an annual report to the Department's Research Committee which should address the questions set out in [Annex H](#). In the case of an iDRU, reports should go to the Research Centres of the Departments involved. The Departmental Research Committee(s) (DRC(s)) should consider the DRU's or iDRU's annual report and determine whether or not the nature and quality of

the DRU's activities are appropriate for the Department and fit with the Department's own strategy, whether research staff within the DRU or iDRU are meeting the criteria for the NRSC, and whether the unit continues to meet the minimum requirements of a DRU or iDRU. With respect to DRUs, DRCs may establish a sub-committee to perform the review of DRUs. In the case of iDRUs, it is recommended that the DRCs of the Departments involved form a joint sub-committee of the relevant Departments involved to perform the review and report back to their DRCs. In both cases, the reviewing committee may invite a member of the Research Division and/or HR to attend if they so require.

- 3.2 The Head of Department in which the DRU is located is (or in the case of iDRUs, of which the head of the iDRU is a member) is responsible for sending the DRC report to Research Committee giving the outcome of the annual review and any recommendations of steps to be taken to address any concerns. In the case of iDRUs, a joint report should be produced by all the Departments involved. The report can be in the form of an extract or note from the minutes of the relevant meeting in which DRUs were reviewed.
- 3.3 The DRC report should advise the School's Research Committee as to what actions, if any, it proposes to take in the light of its evaluation. In particular, it should advise the School's Research Committee as to whether the DRU or iDRU should continue in its current form or whether the School's Research Committee should discontinue it. In the latter instance, the DRC should advise the School's Research Committee whether the activities and / or name of the DRU or iDRU will continue to exist in a different form as a Recognised Group within the Department or across Departments. Note that Recognised Groups should still be reviewed regularly by DRCs (see section 3, Annex H below).
- 3.4 Where HODs are closely involved in a DRU or iDRU they should not participate in the review process. Where the HOD is also the chair of a DRC reviewing a DRU or iDRU, this will require another full professor to step into that role for the purposes of the review. In cases where the HOD is closely involved in the DRU the outcomes of the review should be reported to the School's Research Committee directly by the DRC. Where a HOD is head of an iDRU responsibility for reporting lies with the HOD of one of the other participating Departments.
- 3.5 The School's Research Committee will retain the right to revoke Unit status for DRUs and iDRUs if warranted and can request access to Annual Reports at any time.
- 3.6 Research Committee will review all DRUs and iDRUs before their expected expiration date to determine whether there is a case for their continuation. When a DRU or iDRU is due to be reviewed by Research Committee (usually after three years), the head of the DRU or iDRU and the HOD(s) will be invited to attend Research Committee. Extracts from the relevant DRC minutes plus the DRU or iDRU annual reports should be made available to Research Committee for the renewal discussion.

## 4. Management of Departmental and inter-Departmental Research Units

4.1 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 or iDRU, 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.

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

4.2 Whilst not prescriptive, the terms of reference for a Management Committee might be as follows:

- a. To establish and provide advice on the overall strategic direction for the DRU or iDRU and its activities, in accordance with its objectives.
- b. To set and, as necessary, amend the DRU or iDRU's objectives.
- c. To agree an annual work-plan and annual budget for the DRU or iDRU activities (ensuring that the DRU or iDRU continues to meet an agreed financial threshold).
- d. To review overall management and delivery of the DRU's or iDRU's activities against annual plans and budgets.
- e. To produce the reports required for the purposes of review under section 3 above.

4.3 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. Closure of Departmental or inter Departmental Research Units

5.1 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.

5.2 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.



## Application for new Departmental or inter-Departmental Research Unit(s)

Any queries may be directed to David Coombe ([d.coombe@lse.ac.uk](mailto:d.coombe@lse.ac.uk)) or to Susana Mourato ([s.mourato@lse.ac.uk](mailto:s.mourato@lse.ac.uk)).

Please save your response and send it back to Casimira Headley-Walker ([c.headley-walker@lse.ac.uk](mailto:c.headley-walker@lse.ac.uk)).

In accordance with these guidelines, please provide the following:

Name of HOD(s)	
Department(s)	

- **The names of any research units which you wish to put forward for formal designation as a Departmental or inter-Departmental Research Unit, noting that:**
  - a) Guidance on the definition of a DRU or iDRU is provided in section 4.1 of the guidelines
  - b) DRUs and iDRUs are afforded the privilege of a name and identity within the School and on its website (section 5.3) and some benefits from the research incentives schemes (section 5.3). It follows that if you do not put an entity forward for designated DRU or iDRU status, it will not be entitled to a name/identity and web presence, and if it currently enjoys any of these benefits it will cease to do so.
  - c) DRUs and iDRUs are subject to oversight by and accountability to the home department(s) and the School's Research Committee. Annex H sets out the annual monitoring requirements.

Name of DRU or iDRU:

- **For Each proposed DRU or iDRU outline the following:**  
The case should ideally not exceed three pages.
  - a) **Rationale/value added**  
Please provide a clear and strong case to Research Committee indicating the benefits of the DRU or iDRU becoming a recognised unit. Section 2.1 sets out the indicators the Research Committee will wish to see.  
  
The key criterion will be 'what will the creation of the DRU or iDRU make possible that would otherwise not be possible', particularly in terms of how the

creation of the DRU or iDRU will promote the success of the unit's research activity and may make more likely the involvement of academic staff from other departments or outside the School, and how it will help secure future funding.

**b) Duration, financial structure and viability**

Set out the proposed duration of the DRU or iDRU in the first instance. Outline the financial structure and details of the arrangement to support the unit: sources of funding of the DRU or iDRU (the duration should coincide with the core funding), including duration, amounts, as well as any (pre-)existing financial liabilities. Include funding sources already secured to ensure the viability of the unit, as well as those planned/envisaged but not secured at the time of submitting your DRU/iDRU application, clearly differentiating between the two.

Please use the template below to illustrate the situation regarding secured funding and expenditures. Feel free to customize the template as needed, and single it out as a separate sheet if more convenient. If you require assistance with this segment of the application, please contact your unit's Research Awards Manager.

	Fiscal Year N-1 (if applicable)	Fiscal Year N/Current year	Fiscal Year N+1	Fiscal Year N+2	Total
<b>INCOME</b>					
<b>Secured Funding</b>					
Research Grant 1					
Other Source 1					
<b>EXPENDITURE</b>					
<b>Staff Costs</b>					
Position 1					
Position 2					
<b>Non-Staff Costs</b>					
<b>NET OVERHEADS</b>					
<b>BUDGET BALANCE</b>					

**c) Unit membership/staff details**

Provide details of the membership of the DRU or iDRU – details on academic core staff, academic affiliates (internal and external), and administrative staff if any - and of their foreseen role in the unit (including .FTE where possible), and any staff career development plans already in existence.

**a) Governance arrangement**

Please briefly describe the foreseen governance structure for the new DRU/iDRU. (If you are applying for an iDRU, you may outline applicable details under point 4. detailing the MoU.)

DRUs may be required by the Research Committee to set up a Management Committees and iDRUs are normally required to have one (section 4.1).

Please indicate:

(i) whether or not you would propose to have a Management Committee and if so

(ii) its membership and broad terms of reference (further guidelines are provided in section 4.1, 4.2 and 4.3).

**d) Director**

The name of the director(s) of the DRU or iDRU. Note that the directorship of an iDRU can rotate between the relevant Departments involved.

- **In designing these guidelines, Research Committee was under no illusions that they could sensibly cover every circumstance.**

Should you wish to propose any exceptions to the guidelines, please indicate these and the rationale for the exception.

**Thank you for providing this information.**

**If you are applying for a DRU, please save your response and send it back to [c.headley-walker@lse.ac.uk](mailto:c.headley-walker@lse.ac.uk) in a Word file.**

**If you are applying for an iDRU only, please continue to the next point and fill in the MoU template.**

- **Memorandum of Understanding (MoU)**

**Please use this space to write a MoU for the iDRU for which you are seeking approval. In doing so, answer all of the applicable questions below:**

- a) Will the directorship of the iDRU be rotating or permanent: if it will be a rotating one, how often will the directorship rotate, and in what order (if there are more than two Departments involved)?
- b) Other than the Management Committee, will there be any other bodies involved? (e. g. a project committee, or advisory body). Note that these are optional and will depend upon the size and scale of the iDRU and any funders' requirements.
- c) Are there plans to involve other Departments/units at School-level with the work of the iDRU in any way, perhaps in a less structured capacity? (e. g.

associated bodies or similar status). How would those relationships be managed and what purpose would they serve?

- d) Will there be any further documents formalising the governance structure and rules in more detail? (e. g. a charter/constitution of the iDRU). Note that these are optional and will depend upon the size and scale of the iDRU and any funders' requirements.
- e) Which of the parent Departments will be the 'lead administrative unit', i.e. have the budget code/main responsibility for the iDRU? (Please note that this will normally be the Department in which the first Director of the iDRU is based. Only designate a different parent Department if you believe that an exception should be granted, and include a short explanation.)

## Departmental Research Units and Inter-Departmental Research Units approved by Research Committee as at January 2023

<b>Parent Department(s)</b>	<b>DRU/iDRU</b>
Accounting	Centre for Analysis of Risk and Regulation
European Institute	Hellenic Observatory
European Institute	LSEE: Research on South Eastern Europe
Faith Centre, Anthropology, Methodology, International Relations	Religion and Global Society (iDRU)
Geography & Environment and International Development	Latin America and Caribbean Centre (iDRU)
Government	Electoral Psychology Observatory
Health Policy, International Development, PBS and Social Policy	LSE Global Health Initiative (iDRU)
International Relations	International Trade Policy Unit
Management	Innovation Co-Creation Lab
Psychological and Behavioural Science	The Inclusion Initiative
School of Public Policy	LSE-Fudan Research Centre for Global Public Policy
School of Public Policy	The Growth Co-Lab at LSE

## **DRU or iDRU annual reporting requirements**

### **Part A: DRU or iDRU plans**

- i) Please describe the DRU's or iDRU's progress in achieving the research plan(s) as agreed with the funder(s) (as relevant).
- ii) Please outline the major goals for the DRU or iDRU over the five years (or less if funding is due to expire before then).
- iii) Does the DRU or iDRU continue to have a clear research agenda, such that it warrants being a DRU or iDRU?
- iv) How is the DRU or iDRU promoting its work both within and without LSE?
- v) What do you perceive to be the major challenges the DRU or iDRU will face over the next five years (or less)?

### **Part B: Resources and staffing**

- i) What are the main sources of funding for the DRU or iDRU? (funder and total awards received)
- ii) Is the DRU financially viable: eg an income of at least £100k per annum and sufficient income, eg from the Research Incentives Policy, to cover its core costs on a sustainable basis?
- iii) For how long do you anticipate that the DRU or iDRU will be financially sustainable?
- iv) Have you identified any new sources of income to sustain your work?
- v) How many research staff are employed in the DRU or iDRU? Please give grades, a brief description of their key roles and how each is funded.

### **Part C: Governance**

- i) What reporting requirements are imposed by the funder(s) of your work?
- ii) Please attach copies of any reports to external bodies/ funders that you have produced over the last year.

### **Part D: Research Outputs**

- i) What are the key research outputs of the DRU or iDRU over the period of assessment (there is no need to list them all only the most significant).

### **Part E: KEI Activities**

- i) What have been the key research-related engagement activities the DRU or iDRU has undertaken with non-academics in the review period?
- ii) What, if any, identifiable, research-related impacts has the DRU or iDRU had in the review period?

### **Part F: Other**

- i) Are there other aspects of the DRU or iDRU that should be brought to the attention of reviewers?

## Recognised Groups

### 1. Definition of Recognised Groups

See para. 4.7 of the main Policy.

### 2. Approving Recognised Groups

2.1 Recognised Groups must be approved by and registered with the Department, Institute or Centre to which the activities of the Group are closely aligned. Decisions to register and approve a Group must be reported promptly by the head of the relevant Department, Institute or Centre to the Research Committee. Research Committee will reserve the right to approve or reject the decision of the academic unit to register the Group. Annex J is a list of Recognised Groups.

### 3. Accountability for Recognised Groups

3.1 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 Annual Monitoring and APRC-led reviews in the case of Departments and Institutes, and to Research Committee in the case of Research Centres), and must promptly notify Research Committee of any changes in the name or status of the Recognised Group.

3.2 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, including the closure of the Recognised Group.

## Recognised Groups as at January 2022

<b>Host department/ centre</b>	<b>Recognised Group</b>
Accounting	Risk and Regulation Magazine
Anthropology	Programme for the Study of Religion and Non-Religion
Anthropology	Anthropology of Economy
Anthropology	Ethnography of Advice
CPEC	NIHR School for Social Care Research
CPEC	International Long-term Care Policy Network
CPEC	NIHR Policy Research Unit in Adult Social Care
CASE	LSE Housing and Communities
CEP	Urban & Spatial Programme (formally SERC)
CEP	Centre for Vocational Education Research
Economic History	Narrative Science
Economics	Economica
European Institute	Contemporary Turkish Studies
Finance	Journal of Finance
Firoz Lalji Institute for Africa	Centre for Public Authority and International Development (CPAID)
FMG	Paul Woolley Centre for Market Dysfunctionalities
FMG	Systemic Risk Centre
Geography and Environment	LSE London
Geography and Environment	Cañada Blanch Centre for Contemporary Spanish Studies
Government	Association for the Study of Ethnicity and Nationalism
Government	Nations & Nationalism
Government	British Government @ LSE
Government	Migration Studies Unit
Grantham Institute	Global Environmental Change
Health Policy	Health Economics, Policy and Law
International Development	Crisis States Research Network
International Inequalities Institute	India Observatory
International Development	Population Investigation Committee
International Development	Population Studies
International Relations	European Foreign Policy Unit
International Relations	Centre for International Studies
International Relations	International Politics
Law	Criminal Law and Criminal Justice Theory Forum
Law	ICT, Media and Communications Group
Law	Law and Economics Forum
Law	Law and Financial Markets Project
Law	Legal Biography Project
Law	Legal and Political Theory Forum
Law	Transnational Law Project
Law	International Humanitarian Law Project
Law	European Law Journal
LSE Cities	Urban Age
LSE Health	African Health Observatory Platform (AHOP)



LSE Health	European Observatory on Health Systems and Policies
LSE Health	Global Surgery Policy Unit (GSPU)
LSE Health	Medical Technology Research Group (MTRG)
LSE IDEAS	Cold War History
LSE IDEAS	South Asia Centre
LSE IDEAS	Conflict Research Programme
Management	Behavioural Research Lab
Media and Communications	Polis
Psychological and Behavioural Science	Journal of Community and Applied Social Psychology
Psychological and Behavioural Science	Journal for the Theory of Social Behaviour
Psychological and Behavioural Science	Papers on Social Representations [PSR]
Psychological and Behavioural Science	Behavioural Science Hub
Psychological and Behavioural Science	Public Understanding of Science
Social Policy	Mannheim Centre for Criminology
Social Policy	British Society for Population Studies
Social Policy	Population@lse
Social Policy	Education Research Group
Sociology	Laboratory for Advanced Research on the Global Economy
Sociology	Investment and Human Rights learning hub
Sociology	LSE Human Rights
Sociology	British Journal of Sociology

# School Advisory Boards – Guidance on Terms of Reference

## Purpose and Creation of Advisory Boards

- 1.1. The purpose of Advisory Boards is to provide the Director or Heads or Directors of Departments, Institutes, Centres or Departmental Research Units or of Professional Service Divisions (referred to herein as 'units'), and the members of the unit's management team or committee, with an external perspective and advice, support and guidance on the work of the unit. All Research Centres at the School are required to have an Advisory Board.
- 1.2. Advisory Boards also provide the forum in which the legitimate interests and perspectives of external academic and non-academic members and funders of research are represented.
- 1.3. Advisory Boards will consider issues of strategy and policy to inform the leaders of the units to which they are appointed.
- 1.4. Advisory Boards may only be established with the approval of the School Secretary in units which have been formally established through the School's governance processes.
- 1.5. Advisory Board will not be involved in:
  - a. the making of appointments to Chairs or other faculty appointments due to the potential for inappropriate external interference;
  - b. activities carried out on an informal basis such as individual research programmes.

## Role and Obligations of Advisory Boards and their members

- 2.1 All Advisory Boards must operate in line with the School's Ethics Code and the Donations Acceptance Policy and with the Principles of Public Life (the Nolan Principles), and with the other policies and procedures of the School.
- 2.2 Advisory Boards must not attempt to direct or exert undue influence over academic matters in any way, or seek to limit the academic freedom of any individual academic or group of academics or of any unit within LSE or seek to restrict their capacity to operate independently. Advisory Boards which are created as part of the terms of a grant or donation must guarantee the freedom of the academic unit and the School to utilise any funding for such purposes as it sees fit (within the terms of the agreement) and without interference.

2.3 Advisory Boards may advise in general terms on matters relating to HR within the unit, and individual members of Boards may participate in an advisory capacity in selection committees making appointments with the agreement of the School Secretary. They may not however take part in the decision to appoint and must at all times respect the principles of academic freedom and the independence of the LSE.

2.4 The role of Advisory Boards and their members may include all or any of the following:

## Strategic and Policy Development

- a. To advise on general strategy for the unit in order to achieve its objectives;
- b. To advise on actions to be taken to advance the strategy and policies of the unit, for example: enhancing the performance of areas identified as making insufficient progress or where future difficulties in the achievement of its objectives are anticipated; new areas of research; or new collaborative opportunities;
- c. To advise and assist on fundraising and the mobilisation of relevant contacts (e.g., for research access or placement of students in internships). All fundraising activities should be coordinated through Advancement, and student placements should be coordinated with Careers;
- d. To advise on issues referred to the Board by the unit's Management Committee or equivalent;
- e. To advise on the unit's engagement and impact generating strategy and support its activities in implementing the strategy, for example supporting the investment in engaging with key audiences and potential users of the research; offering pathways into user groups;
- f. To advise the LSE Director on any issues within the scope of the Board's Terms of Reference, for example as part of a review process or at times of transition in the unit.

## External Support and Perspective

- g. To act as ambassadors on behalf of the unit, for example by attending its key events and networking with key players/audiences on its behalf;
- h. To act as a critical friend in relation to the overall shape, academic direction and relevance to policy and practice of the unit;
- i. To advise on the development of educational activities by the unit where relevant;
- j. To advise on trends in their fields and practices elsewhere.

## Reporting and Accountability

- k. To comment on the unit's draft annual report, where relevant.

## Arrangements for the operation of Advisory Boards

- 3.1. Advisory Boards will normally be chaired pro-bono by a member external to the School. The Chair and members should be on the basis of their ability to provide the benefit of their integrity, expertise and ability to contribute to the strategy and activities of the academic unit.
- 3.2. Appointments to Advisory Boards must be subject to appropriate due diligence and approval processes (including the declaration of any potential conflicts of interests) and be approved by the School Secretary.
- 3.3. The terms of appointment must include provision for members, including the Chair to be dismissed from the Board if they fail to follow the obligations of members set out in this Guidance on Terms of Reference, the School's policies or procedures, or otherwise fail to respect the principles of academic freedom.
- 3.4. Membership of the Board should provide for renewal on a staggered schedule. The normal membership term will be three years, renewable for a further term of three years and exceptionally a second further terms of three years, or renewable for a single term of five years. These time-limits may be extended or waived, by agreement with the School Secretary in order to provide continuity of representation on behalf of a significant external donor. In the case of institutional representation, it is expected that a single individual will serve a full term (without an alternate).
- 3.5. Members may include academics, respected practitioners or users of academic research, fund raisers and funders or their representatives. Advisory Boards should normally contain at least two members who are not members of LSE (including Court and Council). No more than two representatives from a funder should be appointed to an Advisory Board at any one time.
- 3.6. Members of Advisory Boards may not be current registered students or their parents.
- 3.7. To support academic freedom, government officials on an Advisory Board must act in a personal capacity only.
- 3.8. The Advisory Board will normally meet at least twice a year, and must convene at least once a year.
- 3.9. The Director or Head of the unit to which the Advisory Board is appointed 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.

- 3.10. The Director or Head of the unit to which the Advisory Board is appointed must provide the School Secretary with details of the members of the Board and the minutes of each meeting to [ethics@lse.ac.uk](mailto:ethics@lse.ac.uk).

## Review schedule

Review interval	Next review due by	Next review start
3 years	February 2024	October 2023

## Version history

Version	Date	Approved by	Notes*
v.July2018	July 2018	J Black	v.March2017 approved by Academic Board, updated July 2018 (updated list of centres, DRUs, etc plus. Minor amends)
	2019	VCAB	Changes to Annex D and DRU application form (annex E)
	February 2021	Academic Board	Version approved by AB in February 2021, Incl. changes to definitions of Research Centres, removal of the category of "centres within institutes" (following dismantling of IGA), changes to the DRU application form
	November 2021	VCAB	Minor changes to Annex A and K

\*Units lists are regularly updated by Research and Innovation

## Links

Reference	Link
Code of Research Conduct	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/codResCon.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/codResCon.pdf</a>
Research Ethics Policy	<a href="http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/resEthPolPro.pdf">http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/resEthPolPro.pdf</a>
LSE Research Integrity Web page	<a href="https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Research-integrity-at-LSE">https://info.lse.ac.uk/staff/divisions/research-and-innovation/research/Research-integrity-at-LSE</a> ; See also: UUK Concordat to Support Research Integrity: <a href="https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2019/the-concordat-to-support-research-integrity.pdf">https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2019/the-concordat-to-support-research-integrity.pdf</a>

## Contacts

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## Communications and Training

Will this document be publicised through Internal Communications?	Yes/ No
Will training needs arise from this policy	Yes/ No
If Yes, please give details	

