Academic Board

Meeting date	13 December 2023
Paper reference	AB-23-12-13-02
Status	Final

Meeting of the Academic Board to be held on **Wednesday 13 December 2023** at 14.00, Great Hall, Strand Campus

Agenda

1	**Welcome, apologies and notices**	Verbal	Chair
	ABOC election results		
2	**Approval of agenda**	AB-23-12-13-02	Chair
3	**Unanimous Consent Agenda** including:	AB-23-12-13-03	Chair
3.1	Minutes of the Previous Meeting	AB-23-12-13-03.1	
3.2	Actions Log	AB-23-12-13-03.2	
3.3	Academic Board Forward Plan	AB-23-12-13-03.3	
4	**Matters arising from the minutes**		Chair
STRATEGIC DISCUSSION			
5	**In Defence of Value-Based Neutrality** (to discuss)	AB-23-12-13-05	VP (IES)
REGULAR BUSINESS ITEMS			
6	**Report of the Vice-Chancellor & President**		
6.1	Summary Report on Key Issues (to note)	AB-23-12-13-06.1	Chair
6.2	EDI Update on current activity and plans (to discuss)	AB-23-12-13-06.2	EDI
7	**Report of the President of KCLSU** (to discuss)	AB-23-12-13-07	KCLSU President
8	**Reports of Committees**		
8.1	**Report of the College Education Committee**	AB-23-12-13-08.1	Chair, CEC
	See Consent Agenda for all items from CEC		
8.2	**Report of the College Research Committee**	AB-23-12-13-08.2	Chair, CRC
	See Consent Agenda for all items from CRC		
9	**The Dean**		
9.1	**Report of The Dean** (to note)	AB-23-12-13-09.1	Dean
	Item on Consent		
9.2	**To elect Associates of King's College** (to approve)	AB-23-12-13-09.2	Dean
10	**Report from Council**	AB-23-12-13-10	Council Member
11	**Any Other Business**		

Irene Birrell, College Secretary
December 2023

Unanimous Consent Agenda

A consent agenda is a tool often used by organizations to deal expeditiously with routine matters and reports, leaving more time for more strategic discussions. The items on a consent agenda are expected to be non-controversial and unlikely to engender questions. The items on the consent agenda, whether for approval or information, are dealt with by a single motion to accept/receive for information all items contained in the consent agenda. Before taking the vote, however, the Chair will ask whether any member wishes to have any item removed from consent in order to ask a question or make a comment about it. In such a case, the item is automatically removed from the consent agenda and will be dealt with at the end of the meeting or within the report of the Committee under which it sits. The remaining items are then unanimously approved/received for information en bloc without discussion.

While approval of an omnibus motion saves time at meetings, members will want to review the consent agenda materials carefully in order that they properly discharge their responsibilities. Members may ask to have an item removed from the consent agenda by so informing the Secretary or Chair at any time up until the motion is put.

Recommended: That the Academic Board approve or note for information the items contained in the Unanimous Consent Agenda, listed below.

Item		Title	Paper	Action
3.1		Minutes of November 2023 meeting	AB-23-12-13-03.1	Approve
3.2		Actions Log	AB-23-12-13-03.2	Note
3.3		Academic Board Business Plan	AB-23-12-13-03.3	Note
Report of the College Education Committee (CEC)			AB-23-12-13-08.1	
8.1	(i)	King's Online Managed Programmes Academic Calendar	Annex 1	Approve
	(ii)	Lifelong Learning Entitlement		Note
	(iii)	Review of UK Transnational Education Case Study		Note
	(iv)	Academic Skills Update		Note
	(v)	King's Education Awards 2023-2024		Note
	(vi)	Professional, Statutory and Regulatory Body		Note
	(vii)	Periodic Programme Review reports		Note
	(viii)	Reports of Committees		Note
Report of the College Research Committee (CRC)			AB-23-12-13-08.2	
8.2	(i)	Proposal for New Equity Participation Policy		Approve
	(ii)	Policy on the Ethical Conduct of Research Involving Human Participants		Approve
	(iii)	Research Capability Fund		Note
	(iv)	Establishment of King's Doctoral College		Note
	(v)	Financial Sustainability of Research		Note
	(vi)	Multidisciplinary Institutes Call		Note

Report of the Dean

9.2	To elect Associates of King's College	AB-23-12-13-09.2	Approve

Joanna Brown
Governance Manager
December 2023

Academic Board	
Meeting date	13 December 2023
Paper reference	AB-23-12-13-03.1
Status	Unconfirmed minutes

Minutes

Academic Board is asked to approve the unconfirmed minutes of the previous meeting.

Date	1 November 2023, 14.00
Location	Great Hall, Strand Campus and MS Teams

Composition			Members	Attendance 2023-2024				
				1 Nov 23	13 Dec	6 Mar 24	17 Apr	26 Jun
Ex officio	Chair of Academic Board, President & Principal		Professor Shitij Kapur	P				
	Senior Vice Presidents & Vice Principals	SVP Academic	Professor Rachel Mills	P				
		SVP Health & Life Sciences	Professor Richard Trembath	P				
		VP Education & Student Success	Professor Adam Fagan	P				
		VP Research & Innovation	Professor Bashir Al-Hashimi	P				
		VP International, Engagement & Service	Professor 'Funmi Olonisakin	P				
	The Reverend the Dean		Rev'd Canon Dr Ellen Clark-King	A				
	The President of the Students' Union		Steven Suresh	P				
	KCLSU Vice Presidents Education	Vice President for Education (Arts & Sciences)	Sadaf Abbas Cheema	P				
		Vice President for Education (Health)	Janvi Jagasia	P				
		Vice President for Postgraduate	Alizeh Abrar	P				
	Executive Deans of Faculty	Arts and Humanities	Professor Marion Thain	P				
		Dentistry, Oral & Craniofacial Sciences	Professor Michael Escudier	P				
		Dickson Poon School of Law	Professor Dan Hunter	P				
		King's Business School	Professor Stephen Bach	P				
		Life Sciences & Medicine	Professor Ajay Shah	P				
		Natural, Mathematical & Engineering Sciences	Professor Mark French (Interim)	P				
		Nursing, Midwifery & Palliative Care	Professor Irene Higginson	A				
		Institute of Psychiatry, Psychology & Neuroscience (Interim)	Professor Matthew Hotopf	P				
		Social Science and Public Policy	Professor Linda McKie	P				
	Dean for Doctoral Studies		Professor Rebecca Oakey	P				
	Executive Director: Centre for International Education & Languages (CIEL)		Sarah Shirley	P				
Elected Students	One student from each faculty, split equally across UG/PGT/PGR	Arts and Humanities	Jenee Gardner	P				
		Dentistry, Oral & Craniofacial Sciences	Jekaterina Polomarenko	P				
		Dickson Poon School of Law	Emilia Britain	P				
		King's Business School	Vacancy	-				
		Life Sciences & Medicine	Mariana Ferreira Teixeira Da Silva	P				
		Natural, Mathematical and Engineering Sciences	Navye Jain	P				
		Nursing, Midwifery & Palliative Care	Marie Martos	P				
		Institute of Psychiatry, Psychology & Neuroscience	Emil Galanides	P				
		Social Science and Public Policy	Joep Lahaije	P				
Elected Staff	Four academic staff members from each faculty (and five in the case of larger faculties) elected by and from the staff of	Arts & Humanities (5 members, including HOD equivalent)	Professor Virginia Crisp (HoD)	P				
			Dr Hannah Crawforth	A				
			Dr Zeena Feldman	P				
			Professor Nick Harrison	P				
			Dr Laura Gibson	P				
		Dentistry, Oral & Craniofacial Sciences (4 members, including HOD equivalent)	Professor Kim Piper (HoD)	P				
			Professor Jeremy Green	A				
			Professor Richard Cook	P				
			Dr David Moyes	P				
		Dickson Poon School of Law (4 members, including HOD equivalent)	Professor Ann Mumford	P				
			Dr Jonathan Gingerich	A				
			Professor Ewan McGaughey	A				
			Dr Elin Weston	P				
			Professor Gulcin Ozkan (HoD)	P				

	each faculty.	King's Business School (4 members, including HOD equivalent)	Dr Jack Fosten	A				
			Dr Juan Baeza	P				
			Dr Andrew McFaull	P				
		Life Sciences & Medicine (5 members, including HOD equivalent)	Professor Susan Brain (HoD)	P				
			Dr Manasi Nandi	P				
			Professor Claire Wells	P				
			Dr Baljinder Mankoo	P				
			Dr Anna Battaglia	P				
		Natural, Mathematical and Engineering Sciences (4 members, including HOD equivalent)	Professor Luc Moreau (HoD)	P				
			Dr Andre Cobb	P				
			Professor David Richards	P				
			Professor Gerard Watts	P				
		Florence Nightingale Faculty of Nursing, Midwifery & Palliative Care (4 members, including HOD equivalent)	Dr Lorraine Robinson (HoD)	P				
			Dr Jocelyn Cornish	P				
			Dr Wladzia Czuber-Dochan	A				
			Irene Zeller	P				
		Institute of Psychiatry, Psychology & Neuroscience (5 members, including HOD equivalent)	Professor Sarah Byford (HoD)	A				
			Dr Eleanor Dommett	P				
			Dr Rina Dutta	A				
			Dr Yannis Paloyelis	P				
			Dr Eamonn Walsh	P				
		Social Science and Public Policy (5 members, including HOD equivalent)	Professor Jelke Boesten (HoD)	P				
			Dr Hillary Briffa	P				
			Dr Sunil Mitra Kumar	P				
			Dr Tim Benbow	P				
			Tomas Maltby	P				
	Three staff members on contracts which include teaching from Professional and Continuing Education elected by and from the staff members on contracts which include teaching in PACE. One of the three seats will be held by a Head of Department or equivalent.		*Sarah Shirley*	P				
			Suzie Coates	P				
			Dr Michael Elliott	P				
	Three professional staff	Education Support	Thomas Seagroatt	P				
		Research Support	Dr Natasha Awais-Dean	P				
		Service Support	Akic Lwaldeng	P				
	Two academic staff on research-only contracts	Arts and Sciences Faculties	Dr Harriet Boulding	P				
		Health Faculties	Dr Joanna Davies	P				

v= vacant post

In attendance:
Darren Wallis, Executive Director, SED
Lynne Barker, Associate Director (Academic Regulations, Quality and Standards), SED
Alison Clarke, Regulations Manager, SED
Keith Zimmerman, Executive Director, Student Success Transformation Programme (Item 5)
Liv Roberts, Strategic Director, Education & Students, SSTP (Item 5)
Rabia Harrison, Director of Operations, Dickson Poon School of Law, SSTP (Item 5)
Kathy Barrett, Associate Director (Research Staff Development) (Item 8.3)
Paul Cartwright, Independent Member of Council and Chair, Audit, Risk & Compliance Committee

Secretariat:
Irene Birrell (College Secretary)
Joanna Brown (Governance Manager)
Sheron Balfour (Governance & Compliance Manager)

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1   Welcome, apologies and notices

The Chair welcomed new members to their first meeting of the Academic Board, and welcomed Paul Cartwright, Independent Member of Council, to the meeting as an observer.

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2   Approval of agenda

The agenda was approved.

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3   Unanimous Consent Agenda (including Minutes of the Previous Meeting) [AB-23-11-01-03]

Decision

That the items on the Unanimous Consent Agenda be taken as read and noted or approved**.**

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4   Matters Arising from the Minutes

There were no matters arising.

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5   Student Success Transformation Programme (SSTP) [AB-23-11-01-05]

Keith Zimmerman and Liv Roberts presented the Student Success Transformation Programme to the Academic Board. [Slides attached as **Annex 1** to the minutes]

In a challenging Higher Education environment the programme was being set up to address fundamental issues in King's student experience. The student experience was driven in large part by the staff experience and the interplay between students and university systems, processes and services. Work was already underway.

SSTP was taking priorities from student and staff surveys and focused on three key issues raised: Student Services; Assessment and Feedback; and Education Services. The three approaches would build on best practice in the College, and in the sector, to deliver results quickly and effectively. The programme would be innovative and co-designed, with a flexible approach while being focused and tightly defined in scope.

The National Student Survey (NSS) was a lagging indicator as students were asked to complete the survey long after any opportunity to influence that experience. Methods to measure student experience much earlier in their studies would be developed.

The business case would be put to the College Council this month in order to release the funds needed to move forward. The University should begin to see work at scale early in the new year.

The Senior Vice President (Academic) emphasized that SSTP would be the collective responsibility of everyone, and not just the SSTP Team.

During discussion points made included:

- The programme would be governed by a Board chaired by the Senior Vice President (Operations) and the Vice President (Education & Student Success), reporting to the Executive and Council as appropriate. Individual projects would sit under the Programme Board, which would establish their own structures in turn. Regarding technical/data governance, IT architecture expertise would sit on the Programme Board. Policy governance would focus on quality assurance, and different pockets of data would be brought together, for example one source of student analytics would be built.

- There would need to be a balance between academics being involved directly on the Programme Board, and being indirectly involved as end consumers. The development of products such as the tutor dashboard and the timetable process would need the collaboration of local professional services staff and academics. There would be cross-programme stakeholder groups consisting of academics, professional staff and students, acting as a second tier of review of decisions.

- PGR student issues were currently at a lower prominence in SSTP priorities. However, if there was a view they should be more prominent in current planning, the SSTP team needed to know that. The Dean for Doctoral studies was happy to contribute. She stated that PGRs did not have the same issues as undergraduates and postgraduate teachers and it would be useful for the SSTP team to engage with staff in that area.

- A student member raised the issue of the wide variation in student experience of Personal Tutors (PTs). It was noted that there were two personal tutor pilots ongoing in the King's

Business School and the Faculty of Arts & Humanities, exploring both the academic role and the professional pastoral support role. Both Executive Deans reported positively on those pilots. A number of models were being explored. With appropriate training and reward and recognition it was hoped to reach a more standardised approach. Personal tutoring was considered as part of a wider eco-system of student support. The Personal Tutor Dashboard would be a critical project in ensuring that PTs could access relevant data when a student was in front of them. A member who was a personal tutor observed that PTs hesitated to provide the wrong pastoral advice and definitely needed training in this. It was noted that some professional staff get to know the students as a community better than some of the academics as they were consistently there.

- The student member responded that a massive change for a lot of students would be in being able to meet their personal tutor in real life. The Vice President (Education & Student Success) stated that it had been made clear to all faculties that PT meetings should be face-to-face, and that if this was not happening it needed to be raised with the relevant department and faculty. It was noted that there was currently no mechanism to capture what was happening in this area or to flag up any issues.

- Different PT systems in different faculties was noted as an issue, for example in the Faculty of Nursing, Midwifery & Palliative Care student placements reports and assessments required a duty roster system for dealing with students out of hours.

- Assessment and feedback was one of the SSTP three priority areas. It was noted that feedback from recent workshops with students was that they did not have opportunities to follow up on feedback in the larger programmes with Graduate Teaching Assistants. Consistency in feedback needed to be addressed. The Vice President (Education & Student Success) said the aim was to build a suitably broad and flexible framework that allowed for variable types of feedback across the nine faculties, while at the same time a set of principles being agreed to as a community. There was otherwise a risk in becoming too prescriptive from the top down: the main purpose of feedback was to help the student move on and progress. King's Foundations had identified that a key area to work on with students was in academic skills provision, and engaging more independently with the feedback they were receiving.

- Regarding assessment and feedback, a student member reported that different learning styles needed to be accommodated in teaching and assessment. Some students struggled academically, and some did not understand the discrepancies in marking from one instructor to another. It was noted that the assessment model had not evolved for some time, and that students were taught differently now in primary and secondary schools. This needed to be recognised and a deeper dive needed into the way the University was assessing its students. Students were encouraged to feedback to the Executive Deans.

- The data-driven Quality Improvement Methodology received positive feedback. It could not be done all at once, and priorities would be set.

- There had been KCLSU support and engagement in the project from the outset, and a set of KCLSU principles and ideas would be included in the Business Case. There was KCLSU representation on the Programme Board, and as work progressed the SSTP team would draw students in on the work, both in unpaid and paid placement opportunities.

- Multiple approaches were being taken to avoid silos developing across the nine programmes of work, including: co-sponsor arrangements; cross university stakeholder groups; service design; good communication; and monthly data reporting to the Board. There were also many dependencies across the projects that would mitigate against silos.

The Vice-Chancellor & President thanked the Executive Director of the Student Success Transformation Programme and his team, stating that SSTP was absolutely central to the University's strategic goals on student experience and thriving staff community. In one year's time three things would be palpably different:

- Timetabling: material improvements in accuracy and currency of timetables.

- Assessment: A process to reduce the burden for everyone early in the cycle.

- Personal Tutors: a viable student dashboard to be brought forward. It would not include all the data points a PT would wish for, but there would be an improvement in data being brought together.

6   Report of the Vice-Chancellor & President

6.1   Summary Report on Key Issues [AB-23-11-01-06.1]

The Vice-Chancellor & President presented his report, which highlighted current issues, events and developments since the last meeting of the Academic Board, including: admissions, the Teaching Excellence Framework and the National Student Survey, King's Digital, Generative AI, and the new University title. Updates included:

Admissions update – 2023-24 Enrolment – remained a good picture regarding number of applicants, offers and acceptances but there was an enrolment gap. International enrolments were down and there were lower enrolments through UCAS. There would be more information available at the next meeting of the Board.

Teaching Excellence Framework (TEF) results – student outcomes and student experience
Student outcomes had received gold; student experience had received silver and could be better. The Student Success Transformation Programme was an effort to move that silver to gold for the next TEF.

National Student Survey (NSS) – The 2023 results were modest and not where we would like to be. However, there were success stories of change, for example the dramatic turn-around in the Faculty of Nursing, Midwifery & Palliative Care.

King's Digital – The partnership with Pearson had changed, and King's Digital was a new internal brand and operating model (building on King's Online) supporting online education.

King's Academy Generative AI Course A new course in developing AI literacy had been designed and was available free both within King's and to any university. It had raised interest internationally.

University title – King's College London had started life as a constituent college of the University of London. While maintaining this position, it was now a University with a capital 'U' following a change in the University of London Act. The formal name remained as King's College London. In line with the change, Vice-Chancellor & President, a title more broadly understood internationally, was now to be the title used rather than "Principal & President".

During discussion points made included:
- Regarding the Vice-Chancellor & President title change, it was noted that titles such as Reader or Senior Lecturer were similarly difficult to understand internationally. It could be the time to consider amending these titles also. The AEP pathway might provide a place to start with this.
- The issue of English as a primary language and front-line staff was raised. As an international university a lot of care was taken in selecting people who had the language ability to succeed. The entry standards for King's were amongst the highest in the sector. King's had a high English Language requirement and King's Language Centre provided ongoing and appropriate support.

- The system for appointing PhD Examiners was raised. The Dean for Doctoral Studies explained that the reasons for maintaining the regulations were varied and included historic activity, and student experience and concerns about having external examiners' independence protected. She asked that any further concerns be directed to the Associate Deans for Doctoral Studies.

6.2 **The GKT School of Medical Education Branch Campus** [AB-23-11-01-06.2]

The Senior Vice President (Health & Life Sciences) presented the report, which requested the Board to recommend to Council approval for the GKT School of Medical Education to enter into a branch campus arrangement with the University of Portsmouth.

The Executive Dean of the Faculty of Life Sciences & Medicine provided the background to the report. There was a significant shortage of doctors in the UK, and the branch campus option was one way of addressing this through partnerships. King's already had a relationship with Portsmouth through its Faculty of Dentistry, Oral & Craniofacial Sciences. Portsmouth was an area of the country significantly underprovided for regarding doctors, and so a good part of country to collaborate with. King's would provide the King's medical curriculum in Portsmouth. It would be the King's curriculum provided and managed by King's own medical school. Medical schools already sent students elsewhere for parts of their education through placements. The arrangement was likely to continue for five to six years, with Portsmouth eventually establishing its own medical school. Some of the important logistics checked had been: local staff, local GP practices, and local hospitals. The project was feasible and logistically deliverable, and the impact on King's own medical students was minimal: If King's placed staff in Portsmouth, the staff positions would be backfilled, and the number in London would remain the same. King's was well placed to deliver this and contribute to issues of health inequality.

The proposal was recommended as a good thing to do for the UK and a good thing to do in terms of training doctors.

Decision:

That the establishment of the GKT School of Medical Education Branch Campus be recommended to Council for approval.

6.3 **Chair's Action** [AB-23-11-01-06.3]

The President requested that the Academic Board confirm the decisions that he had taken under Chair's Action during the summer and autumn of 2023, namely:

(a) Amendments to Student Terms and Conditions

(b) Temporary amendments to the Emergency Regulations to permit the President & Principal to establish special faculty-based boards (as may be determined necessary by the President & Principal) to scrutinise the results of individual assessments and approve the classification of and conferral of awards where regular processes have been unable, or members unwilling, to fulfil their remit and have not achieved fair and impartial treatment for students.

(c) Amendments to regulations regarding Faculty Assessment Boards and Assessment Sub-Boards (regular annual updates)

(d) Establishment of a Master of Public Administration Programme through the International School for Government.

The Vice-Chancellor & President noted that most of the report was routine and would normally be on the unanimous consent agenda but that he had wanted to highlight (b) the temporary amendments to the Emergency Regulations that allowed him to establish special faculty-based boards in order to ensure students could graduate in the midst of the legitimate industrial action of summer 2023. The national pay and pensions dispute was not something that could be resolved unilaterally and so the Vice-

Chancellor had made a difficult decision and used his emergency powers to instruct that appropriate steps be taken. As a result all eligible students were able to graduate. Checks had been made that this action was proportionate and in keeping with what other universities were doing, and that any lessons learned would be noted.

The Senior Vice President (Academic) noted that where possible the normal regulations had been employed, and where that was not possible, the Emergency Regulations as established by the Academic Board had been used, and that only in the cases where that was not possible were the regulations as amended by Chair's Action utilised. The focus had been on fairness and consistency.

It was noted that the programmes where the revised regulations had applied had not been programmes that were accredited.

Decision:
That the Chair's Actions taken during the summer/autumn 2023 be confirmed.

7	**Report of the KCLSU President** [AB-23-11-01-07]

The KCLSU President took his report as read and highlighted two priorities of the KCLSU: the cost of living campaign and the timetabling campaign that the KCLSU Education Vice-Presidents were working on.

8	**Reports of Committees**

8.1	**Report of the Academic Board Operations Committee (ABOC)** [AB-23-11-01-08.1]

(i) *Reconfiguration of PACE & Academic Board Membership*

The Chair of ABOC proposed that members elected last year to academic staff seats assigned to PACE continue as members for 2023-24. In early September, it had been announced that PACE as a stand-alone unit was being reconfigured and its individual departments realigned within the University. The newly formed CIEL (Centre for International Education & Language) was the academic part of what had been PACE. The Academic Board PACE members were all academic staff in CIEL and Academic Board member, Sarah Shirley, was the new Executive Director for CIEL. ABOC would be looking at the structure for Board's academic staff representation this year and would consider the status of the PACE seats as part of that review.

Decision:
That members elected last year to academic staff seats assigned to PACE continue as members for 2023-24

The remaining items in the Report of the Academic Board Operations Committee were noted on the Unanimous Consent Agenda:

(ii)   Academic Board Calendar of Business

(iii)   Academic Board Elections Update

(iv)   ABOC Membership

8.2	**Report of the College Education Committee (CEC)** [AB-23-11-01-08.2]

(i)   Annual Report: Ongoing Conditions of Registration for the Office for Students (OfS)

The Chair of CEC presented the annual report on Ongoing Conditions of Registration. As part of its monitoring of higher education providers, the OfS expects higher education providers to continue to meet ongoing conditions of registration, including any new conditions introduced since the initial registration process. The College Education Committee had considered and made minor amends to the report and recommended it for approval.

Decision:
That the Academic Board recommend to Council that the annual report on Ongoing Conditions of Registration be approved for submission to the Office for Students (OfS).

*The remaining items in the CEC report were **approved** or noted on the Unanimous Consent Agenda:*

    (ii)   *4-Year LLB Programme Award Calculation **(approved)***

    (iii)   *Proposal for new award: Master in Public Administration (MPA) **(Confirmed via Chair's Action)***

    (iv)   *Terms of Reference and Membership 2023*

    (v)   *Report of the Collaborative Provision Sub-Committee*

    (vi)   *Overview of work in relation to current discussions about a new duty of care for universities*

    (vii)   *Revised death of a current student procedure*

    (viii)   *Student Success Transformation Programme briefing*

    (ix)   *Race Equality Maturity Model*

    (x)   *Module Evaluation: Overview of 2022/23 response rates and closing the loop rates*

    (xi)   *Student Engagement & Attendance Monitoring Policy*

    (xii)   *Academic Misconduct Policy and Procedure (CEC: 22/23: 112) - updated*

    (xiii)   *King's College London Marking Framework*

    (xiv)   *Periodic Programme Reviews*

    (xv)   *Terms of Reference and Membership for the ASSC 2023/24*

    (xvi)   *In-sessional Project update*

    (xvii)   *Schedules of Business 2022/23 – ASSC and CEC*

    (xviii)   *Quality Assurance Handbook update*

    (xix)   *College Teaching Fund 2022/23: Final Report*

    (xx)   *King's Staff 100: Learning Environments Panel Assembly report*

    (xxi)   *NSS and PTES Strategy*

    (xxii)   *Artificial Intelligence (AI) Update*

    (xxiii)   *Update on the Start of the Academic Year 2023/24*

    (xxiv)   *Professional, Statutory and Regulatory Body: Accreditation report from Health and Care Professionals Council (HCPC)*

    (xxv)   *King's Academic Skills provision*

    (xxvi)   *Report from Programme Development and Approval Sub-Committee*

8.3   **Report of the College Research Committee (CRC)** [AB-23-11-01-08.3]

(i)   Research Excellence Framework (REF) Process Update

The Vice-Principal (Research & Innovation) provided a brief outline of what researchers can expect as the REF process got underway. REF 2028 had a deadline of May 2027. Work on REF would start earlier this time around. Two major changes had been suggested:

- around the weight of the components
- who gets returned and what outputs look like

These would have implications for the 25 submissions that King's would make. Stage one of the preparation process was a warming up phase to find out what we had so far, what we need to go forward, and to find out how the faculties could be assisted. A workshop held in September had been well attended by the nine faculties and professional staff. It had discussed the changes and their implications; and a code of practice to provide guidance on principles and support.

Revenue to the University from REF was £81m per year for the next six years. King's aspired to move up the rankings. The top earner was Oxford, at the top of the rankings (and returning more staff), receiving £141m.

(ii)   Concordat Action Plan – Progress update to UUK

The Vice-Principal (Research & Innovation) presented the progress report. The Associate Director (Research Staff Development) was also in attendance. The three-year action plan and reviews had to be reported to Council for approval on an annual basis, and then onto Universities UK for external scrutiny. The Board was requested to review the paper and approve for recommendation

to Council. The report, compiled by the Associate Director (Research Staff Development) detailed the focus on three research staff priorities:

- Fixed-term contracts (a sector-wide issue)
- Bullying and Harassment; and
- Training and Resources for Managers.

During discussion points made included:

- Fixed-term contracts and support for managers were intertwined topics. The fixed-term contract approach was good in that it was pragmatic. The real question was in providing appropriate advice to managers on how manage promotion. It was felt that there was currently opacity in this area because it was very hard to find the information about advancement for research staff on the HR site.

- The ways in which transfer requests to open-ended contracts were reviewed following four-plus years of continuous employment varied from one faculty to another. At the end of a fixed-term contract there were three outcomes: redeployment, reinstatement and redundancy. The working group was working toward a consistent approach to address both issues.

- There had not been very much specific training in the past for the management of research staff. Management of the redundancy process was not as clear as it should be and this would be addressed. Academic Board members were urged to contact the Associate Director (Research Staff Development) if any other gaps were identified. *[ACTION for Academic Board members]*

- Research Associates were a hugely important constituency of King's and the largest constituency of King's staff.

- College-wide survey of research staff against Concordat principles was currently in progress with an aim of developing a comprehensive set of data. It was noted that HR did not have the numbers on fixed-term contracts for research staff. Academic Board members were encouraged to encourage colleagues to complete the survey. *[ACTION for Academic Board members]*

Decision:
That the Academic Board recommend to Council that the progress report on the 2022-25 Action Plan Against the Concordat be approved for submission to UUK.

The remaining items in the CRC report were noted on the Unanimous Consent Agenda:
(ii)   Update on Data Science, AI and Society
(iii)   Update on Research Impact Activities
(iv)   Update on Research Culture Activities
(v)   Research Integrity: Generative AI in Research
(vi)   UK/EU Horizon Europe Agreement

9   Report of The Dean

9.1   Report of The Dean [AB-23-11-01-09.1]
The Vice-Chancellor commended The Dean on free speech lecture series arranged for the AKC course, and in particular that the new Office for Students Director for Freedom of Speech had recently given his first public address on free speech at King's as part of the AKC series.

9.2   Election of Associates of King's College (AKC) [AB-23-11-01-09.2]
*Item **approved** on Consent.*
<u>Decision</u>: That those students and staff listed in the report be elected as Associates of King's College.

10   Report from Council [AB-23-11-01-10]

The report from Council was presented by staff Council Member, Professor Kim Piper. Issues considered at the most recent meetings had included: strategic discussions on the Student Success Transformation Programme and Cyber Security; approvals of the external audit tender, the annual report of fundraising operations, the annual report of the Fundraising Ethical Review Group, the Integrated Planning Process & 2023/2024 Budget Setting, and the KCL/KCLSU Memorandum of Understanding, and consideration of: the Carbon Management Plan, the KCLSU/KCL Relationship Agreement, and the Governance Review.

Kim Piper explained the composition of King's College Council and its committee structure. Academic Board is a subcommittee of Council, responsible for providing Council with academic assurance. She introduced the Academic Board/Council members to the new members of Academic Board (Dr Natasha Awais-Dean and Dr Hillary Briffa) and encouraged members to seek them out.

Independent Council member and Chair of the Audit, Risk & Compliance Committee (another subcommittee of Council), Paul Cartwright, had been in attendance at this meeting as an observer.

11   Any Other Business

None.

The meeting adjourned at 16:25.

Irene Birrell
College Secretary
November 2023

Student Success Transformation Programme

Real Challenges. Real Change.

Academic Board - November 2023

Agenda

The imperative	Real challenges identified by students and staff
The solution	SSTP focused Programmes of work
	• Student Services
	• Assessment & Feedback
	• Education Services
The difference	How SSTP delivers real change
The results	SSTP meaningful outcomes
	Measuring what matters
The future	Looking ahead
Your thoughts	Q&A and discussion

The imperative: NSS trajectory shows real challenges

King's NSS Overall Satisfaction compared to Russell Group Average and Top Quartile (2012-2022)
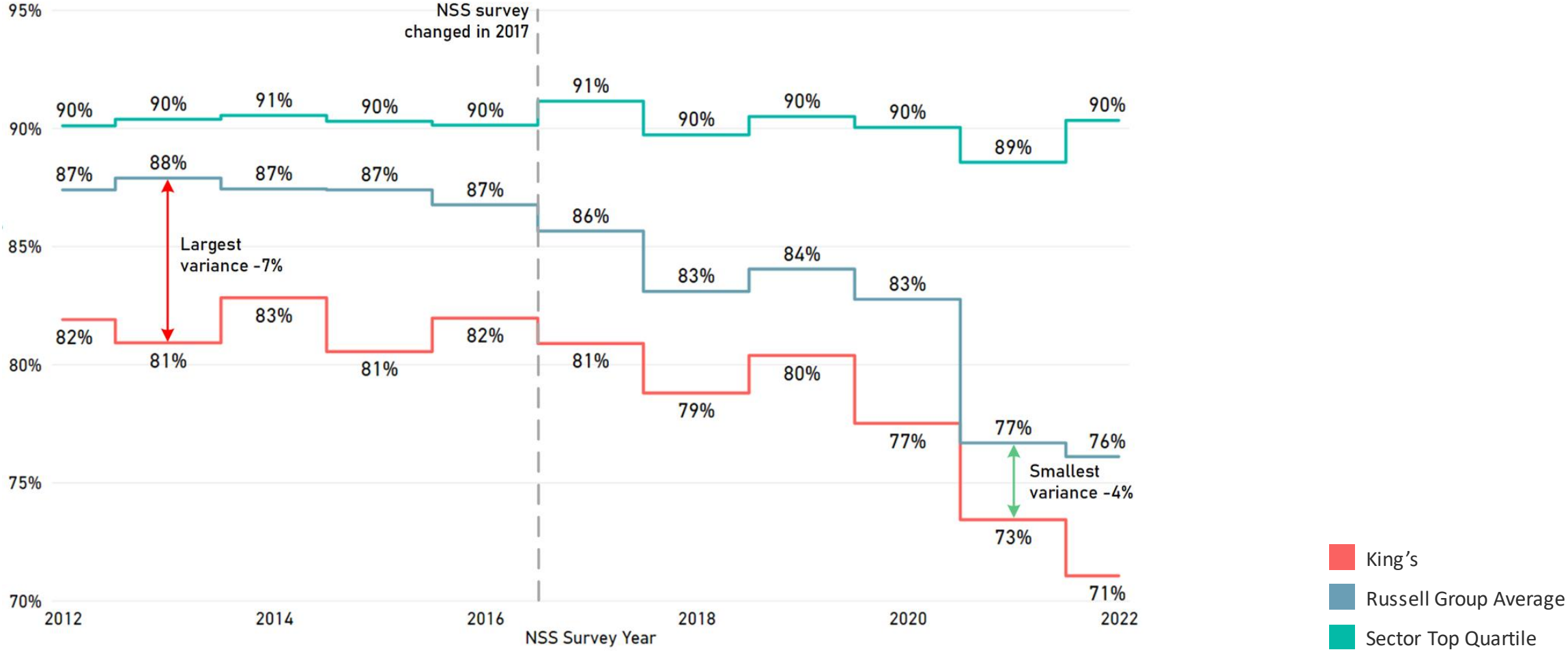
The imperative: Student and staff face real challenges

fragmented student experience & information

frustrating

inconsistent

stalled pilots

late & inaccurate timetables

workload complaints

isolated fixes

unclear KPIs

crisis management

feedback & marks

'failure demand'

student complaints

siloed

'hero' culture

stressful

stalled pilots

long wait times

The solution: Focusing to impact real challenges

NSS results by survey section
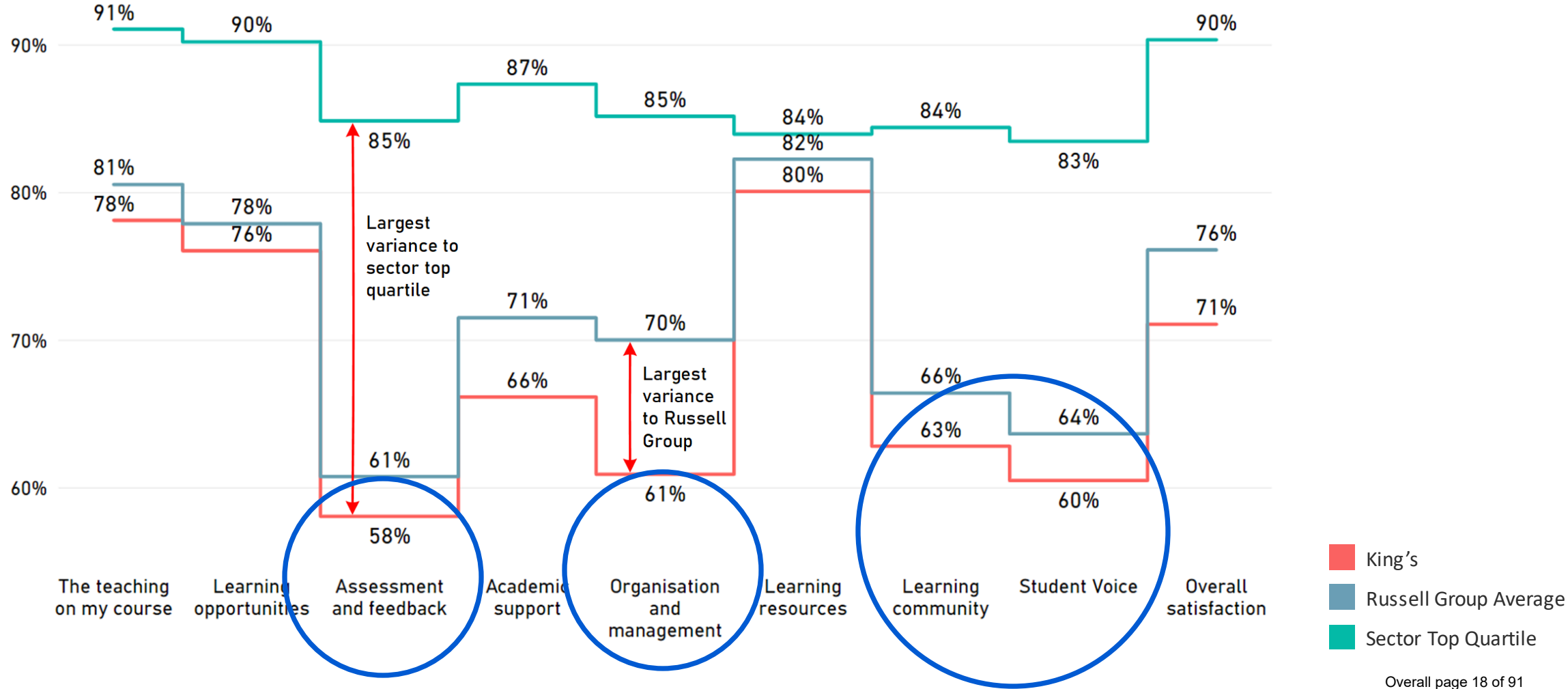
The solution: 3 focused programmes of work

Student Services

- Student services pyramid of support
- Personal tutor model
- Client relationship and case management systems

Assessment and Feedback

- A&F process review and improvements
- A&F policy review

Education Services

- Curriculum management
- Timetabling improvements
- Assessment and feedback

The difference: How SSTP delivers real change

Innovative

Inclusive co-design

Faster results

Adaptive & flexible

Focused

Tightly-defined scope

Focus on pain-points

Strategic alignment

Measured

Clear KPIs

Continuous learning

Sponsor-led

Resourced

Right people

Right structure

Fully supported

The results: SSTP meaningful outcomes

For Students

- Engaging Experiences
- Community Involvement
- Career Outlook
- Diversity & Inclusion
- Support & Wellness

For Staff

- Work-Life
- Workflow
- Empowerment
- Co-creation & Inclusion
- Innovation Mindset

For the University

- Brand Reputation
- Education Model
- Financial Sustainability
- Data-Driven Approach
- Adaptability

The results: Measuring what matters

For Students

- Student Satisfaction Scores
- Service efficacy scores
- Graduate employability
- Diversity demographics
- Engagement Metrics
- Non-continuation rates

For Staff

- Staff survey results
- Career development metrics
- Workload allocation
- Process standardisation
- Adoption rates
- Engagement rates

For the University

- Global rankings tables
- Standardisation
- Quality of Service
- Financial Sustainability
- Compliance risk profiles
- Data Integrity

Real change takes commitment

Making this happen

- Focused effort

- All-in commitment required

- We deliver this together

"It takes a deep commitment to change and an even deeper commitment to grow."

Ralph Ellison

Looking ahead

Any questions

Academic Board	
Meeting date	13 December 2023
Paper reference	AB-23-12-13-03.2
Status	Final

Actions Log

Action required

☐ For approval
☐ For discussion
☒ To note

Executive summary

The Board is asked to note the updated Actions Log.

Actions Log

Meeting	Minute	Topic	Action	Owner	Deadline (*and any Revisions*)	Notes	Progress
1 November 2023	8.3 (ii)	Concordat Action Plan	There had not been very much specific training in the past for the management of research staff. Management of the redundancy process was not as clear as it should be and this would be addressed. Academic Board members were urged to contact the Associate Director (Research Staff Development) if any other gaps were identified.	Academic Board members	End 2023		Pending
1 November 2023	8.3 (ii)	Concordat Action Plan	College-wide survey of research staff against Concordat principles was currently in progress with an aim of developing a comprehensive set of data. It was noted that HR did not have the numbers on fixed-term contracts for research staff. Academic Board members were encouraged to encourage colleagues to complete the survey.	Academic Board members	End 2023		Pending
8 March 2023	5	Research Strategy	Report on progress made in connection with research culture.	VP Research & Innovation	2023		Pending
2 November 2022	5.1	The Future of Online Education at King's	That Academic Board would discuss the mix of online and campus provision.	VP (Education)	2023		Pending
29 June 2022	8.1	Academic Board Operations Committee – membership numbers	That a mechanism to address the differential between the FTEs of faculties and the capacity for these to change over time and the consequence for membership numbers on the Academic Board be considered in the next governance review in 2023-24	College Secretary	July 2024		Pending

Academic Board

Meeting date	13 December 2023
Paper reference	AB-23-12-13-03.3
Status	Final

Academic Board Forward Business Plan

Action required

☐ For approval
☐ For discussion
☒ To note

Executive summary

The Board is asked to note the updated forward business plan.

Academic Board Business Plan

Strategic discussion

A strategic discussion on Education will be held at the first strategic discussion meeting (December) and on Research at the second strategic discussion meeting (March) each year.

Strategies

The Board will continue to monitor the implementation of the following strategies:

- Strategy 2026 (through reports from CEC)
- International Strategy
- Widening Participation Strategy
- Student Mental Health & Wellbeing Strategy & Action Plan (through reports from CEC)

And receive reports as appropriate from its standing committees[1] including on:

- Assessment and Feedback Review 2023/2024 (through reports from CEC)
- Lifelong Learning Entitlement (through reports from CEC)
- Education Governance Review 2023/2024 (through reports from CEC)
- Online professional education
- Student Success Transformation Programme
- Professional Statutory and Regulatory Body (PSRB) Updates
- Teaching Excellence Framework (TEF) related matters
- Research Excellence Framework (REF)

The following policies are being reviewed in 23/24 and are due to come to Academic Board for approval:

- International Athlete Policy
- Multiple Choice Question Policy
- Support for Students in the Armed Forces Policy
- Postgraduate Code of Practice for Research Governance and Dissertation Framework
- Intercollegiate Policy
- Policy on Closing or Suspending a Programme
- Sunset Clause for New Taught Programmes Policy
- Non-academic misconduct and mitigating circumstances
- Complaints Policy

The Board will receive reports on the following business during the year, with a view to enabling the Board to reassure itself and the Council that the King's mission and strategies are being implemented:

- Ongoing Conditions for OfS
- National Student Survey Results
- Postgraduate Taught Experience Results
- Admissions
- Student number planning
- King's degree awards

Periodic updates from the Equality, Diversity & Inclusion Team.

The Board will continue to receive its regular reports from the President & Principal, KCLSU, Council and the College Dean, and the regular reports from its committees.

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[1] CEC and ASSC keep track of policies for review and will update the Academic Board throughout the year.

Academic Board Annual Agenda Plan

Italicised items are those that are expected to return every year, usually in the same time frame.

Date	Item	Action	Responsible	Next Steps
1 Nov 2023	**Student Success Transformation Programme**	Strategic discussion	VP Education	
	OfS Conditions of Registration	Approve recommendation	CEC	Council approval
	Regular items approved by CEC	*Approve & Note*	*CEC*	*Update as necessary*
	REF Process Update	Note	CRC	
	Concordat Action Plan – Progress Update to UUK	Approve	CRC	Council Approval
13 Dec 2023 (Strategic focus)	**Freedom of Speech – Defence of Value Based Neutrality**	Strategic discussion	VP (IES)	
	EDI Update on current activity and plans	Discuss	EDI	
	King's Online Managed Programmes Academic Calendar	Approve	CEC	
	King's Education Awards	Note	CEC	
	Lifelong Learning Entitlement	Note	CEC	
	Review of UK Transnational Education Case Study	Note	CEC	
	Academic Skills Update	Note	CEC	
	Professional, Statutory and Regulatory Body	Note	CEC	
	Periodic Programme Review Reports	Note	CEC	
	Proposal for New Equity Participation Policy	Approve	CRC	
	Policy on the Ethical Conduct of Research Involving Human Participants	Approve	CRC	Publish
	Research Capability Fund	Note	CRC	
	Establishment of King's Doctoral College	Note	CRC	
	Financial Sustainability of Research	Note	CRC	
	Multidisciplinary Institutes Call	Note	CRC	
6 March 2024	**Research Strategy Update**	Strategic discussion	VP (R&I)	
	Chief External Examiner overview report	*Approve*	*CEC - ASSC*	*Update as necessary*
	Annual Report on Student Conduct & Appeals	*Note*	*CEC - ASSC*	
	Annual Report of Examinations & Assessment	*Note*	*CEC - ASSC*	
	Staff Survey post-survey Update	Note	SVP (academic)	
17 April 2024 (Strategic Focus)	**TBD**	Strategic discussion		
26 June 2024	**TBD**	Strategic discussion		
	Assessment Boards UG and PGT Awards Data	*Note*	*CEC - ASSC*	

	Student Terms & Conditions 2024-25	*Approve*	*ED (S&E)*	*Publish*
	Academic Regulations 2024-25	*Approve*	*CEC - ASSC*	*Link on web*
	Degree Outcome Statement update 2024-25	*Approve*	*CEC - ASSC*	
	External King's validation regs: RADA and ICCA	*Approve*	*CEC*	
	External Examiners Report (PGT)	*Approve*	*CEC - ASSC*	*Update as necessary*
	EDI update	*Discuss*	*EDI*	
	King's Digital 2025-6 academic calendar	Approve	CEC	

Meeting date	13 December 2023
Paper reference	AB-23-12-13-05
Status	Final
Access	Reserved items redacted due to commercial interests

In Defence of Value-based Impartiality

Action required

☐ For approval
☐ To recommend for approval
☒ For discussion
☐ To note

Paper Explanation for Members

Why is this paper being presented?	The events of the last few months have initiated an active discussion about when and what position the University should take on geopolitical and complex social issues. In this short paper we lay out the basis for our response as a University, distinguishing thereby what individuals and groups may do, from what the University as an entity should do.
What are the key points/issues?	King's Context, Lessons from King's responses to geopolitical emergencies, Value-Based Impartiality – Principles to Guide Future Responses
What is required from members?	To discuss

Paper Submitted by:

Vice-President (International, Engagement & Service)

<p style="text-align:center; color:red; font-weight:bold">In Defence of Value-based Impartiality
The University's response to complex social and geopolitical emergencies</p>

The events of the last few months have initiated an active discussion about when and what position the University should take on geopolitical and complex social issues. In this short paper we lay out the basis for our response as a University, distinguishing thereby what individuals and groups may do, from what the University as an entity should do.

1. Universities are social institutions with a special duty to society and an obligation to its community. We have a duty, now enshrined in UK Law, to seek truth in our pursuit of academic inquiry, to share truth and to promote academic freedom in its service. At the same time, we are a community of students and scholars, who not only have ideas, but feelings, emotions, hopes and expectations from their place of work and study.

2. We must find the unique balance between our Duty of Academic Freedom and our regard for an inclusive and harmonious Community with learning at its heart. We must do so now and for all time, realizing that what may seem the self-evident truth at one time often becomes an inadequate view of reality with time (e.g. how thoughts about Creationism gave way to our understanding of Evolution, here at King's). At the same time actions and views that would seem self-evidently wrong at one time come to be understandable, and even laudable at another (e.g. how service of the Empire gave way to decolonisation). Since Universities are some of the longest surviving institutions, with serious responsibilities to knowledge, to the current and to future generations, how we balance our Duties and Community is critical to our future.

3. In this context what often comes up is "What is the University's view on this matter?" And why is the University not taking a position, not condemning a particular course of action or position that seems clearly wrong to most people and where many other institutions, and sometimes even other Universities, have taken a clearer position.

4. This paper takes our response to complex geopolitical emergencies as the entry point for a discussion but the case for ***value-based impartiality*** is by no means just about geopolitical emergencies but also applies to other complex social issues, which sometimes divide society including our community.

5. What these challenges have in common, is that there is often more than one view at King's. It is only natural that each group of King's students and staff affected by such situations want their plight to be seen and acknowledged and their cause supported by the University itself. When we only recognise the suffering of a group of students and staff in one situation but not in another, we inadvertently and negatively affect their sense of belonging as part of the King's community. Thus, in the service of its Duty and its Community, King's needs a consistent approach to these matters.

The King's Context

6. King's has students from at least 150 countries with accompanying complex identities, political dynamics and governance models which have inbuilt potential for structural and/or large-scale violence and recalcitrant conflict.

7. Similarly, students bring to the King's not only their national identities, but also their personal, sexual, gender, religious, ethical, and increasingly their environmental sensibilities and identities. And as in the geopolitical matters above, when issues affect

these identities, or pit one against the other, students and staff often like the University to take their side.

8. We have not always been consistent in our responses, nor have we always offered clarity to our community about why we speak on some issues, and not all. The time may have come for us to take stock of our past approach, offer clarity on King's approach so that our communities understand what we do or do not do in those situations and why.

Lessons from King's responses to geopolitical emergencies

9. Our record of response to political and geopolitical conflicts that impact members of our community throw up some lessons:

i. We have had an **uneven response** to geopolitical emergencies affecting members of the King's community. Some events go without a mention while others get a lot of attention (the Nagorno-Karabakh crisis occurred before the Israeli-Gaza crisis; it was not mentioned). Pronouncements of condemnation do not go down well unless we are ready to make similar pronouncements in all similar situations.

ii. **The perception of bias**: when parts of our community see us as condemning one party to a conflict but not the other party for acts of inhumanity, an impression is created that we have taken sides. This chills the environment for academic freedom, as those against that view feel inhibited in having their say.

iii. **The potential for conflict within our community**: we have seen situations where a group of students are demonised because their countries are seen as aggressors or offenders (as seen following the outbreak of the Russian-Ukraine war) or where students suffer feelings of insecurity (as was the case with Israeli students following the Hamas attacks).

iv. **Straddling the threshold of legality:** the actions of some of our members during these periods either through visible support for proscribed organisations or expressions that can be construed as "hate speech" can take them into the zone of illegality, creating complications for the institution. It is our duty to guide our students and staff about the limits of the law – assisting them to express their views within it and ensuring that they do not cross that line inadvertently.

v. **Responding to local attention and pressure:** Our response is sometimes by the degree to which an issue interests or affects sections of the King's community (particularly if that section is visible or well organised), or the degree to which the issue attracts global attention (e.g., Syria, Afghanistan, Ukraine, Israeli-Palestinian conflicts).

vi. **Complexity of Politics and consequences of Positions:** We are often pressured, by petition and campaigns, to take a stance as an institution. On the face of it, making a public statement about our collective humanity seems harmless, expressing moral outrage may seem simple. But such seemingly simple expressions convey a political stance that we haven't always been conscious of. Condemning Russia's attack of Ukraine, as subtly as we did, added to the demonisation of Russia which required the protection of our Russian students that faced isolation. We face similar challenges in the current Israel-Gaza conflict. Responding with statements to each evolving international crisis is an unwinnable approach, which makes us seem inconsistent, fosters divisions within our community.

Through all this what has been consistently lauded and appreciated is the **consistency of pastoral support** provided through our Chaplaincy and other divisions and the concern and the allowances by the rest of the University.

Value-Based Impartiality – Principles to Guide Future Responses

10. We propose the following principles to guide our future response:

- **Our first priority is the Safety and Security of our Staff and Students**

The security and safety of our students and staff is our first concern. In this regard, we will always speak and reach out to our students and staff and provide them with the care and support they need. This has always been appreciated by our students and staff. To achieve this, we should communicate and take the positions that are relevant. Sometimes this would mean reaching out to bespoke students directly [e.g., when a few students are affected directly]. Sometimes, this would mean messaging to a group from a region, or with some characteristics [e.g., when students from a particular country are affected]. And sometimes, this might mean communicating to the entire University.

Communicating this concern rarely requires public statements or taking political positions. However, there may be instances where publicly expressing our concern and actively lobbying for a position is in the direct security interest of our students (e.g., if students from a particular background are threatened outside the campus). In doing so we need to evaluate whether a public statement is indeed the best way to achieve our goal. In fact, in some circumstances (e.g., when staff abroad may be held by a hostile government or group, making such statements may worsen the situation). Deciding this will always remain a matter of context and judgement.

- **Our Duty of Academic Freedom requires Value-based Impartiality.**

Academic freedom, freedom of speech and expression, open scholarly debate are at the heart of King's. This is a fundamental Value for us a university. When the security of our students and staff is not directly and imminently threatened, this Value trumps others. We must defend the right of individuals to speak. They should be free to support, condemn, condone, discuss, and debate about all issues, including geopolitical and complex social issues – within the limits of the law.

In the service of this Duty, it is important that the University, as an institution and a corporation, not express a view, save where it directly impacts the security and safety of our staff and students. We are not a lobby or trade association and as such do not seek political goals or make public or corporate statements. Because a university or employer taking a position or a stance on an issue naturally inhibits the ability of a student or employee to speak their mind the University should avoid this, in all but the most exceptional circumstances.

The University taking a view or not cannot be seen just as a matter of majority or plurality. Just because 51% of the university, or for that matter even 99% of the University's staff feel a particular way, should not propel the University to take a position on geopolitical or sociopolitical issues. Because by doing so, we would create a tilted stage. We would send a message to a minority of our staff that they are against the institution, and the institution is against them. When the noted geologist Prof. Charles Lyell [who later became Sir Charles] was arguing against creationism in the 1830s at King's most considered it wrong and few would have voted for him to continue to outrage morals. Yet, history teaches us that entire society benefitted by allowing him, and others, to seek truth where it led them.

Therefore, in restricting our public position to those times that directly impact the security and safety of our staff and students, our impartiality is a value-based position. It may seem easier to just go with the majority, or side with the powerful. This value-based impartiality creates the enabling environment for seeking truth. It is not, as some may see it, an act of omission – but an active matter of principled restraint. We will seek to be fair and unbiased in the pursuit of our stated values in all situations.

But restraint as a corporate body, should not mean silence within the University. Quite the opposite. The University encourages its staff and students to actively engage in a scholarly discussion of these

very complex issues. There are enough people, bodies and institutions in our society that jump to taking polarized views based on ideology and limited information. The place of the University in such times is to ensure a thoughtful, scholarly discussion that sheds light on these issues – so that we, and the rest of society, may learn. That is the point of academic freedom. That is the purpose of a University.

But this academic freedom is not an unchanging absolute and does not mean "anything goes". Our interpretation of academic freedom does not include any license for racism, antisemitism, Islamophobia, or the use of the protections of academic freedom to question the humanity of others or their right to exist as equals. Therefore, we do not see an incompatibility between inclusivity and academic freedom – though it requires special attention and norms to realize both.

- **Our regard for an Inclusive and Harmonious community**

Given that we support and welcome students and staff from different countries, religions, and identities – inclusion and harmony in the face of freedom of expression are not automatic. In fact, our adherence to the rights of an individual to have and express their views freely – may even create an inherent tension. And that is why it is important that we foster respect for each other and expect civility in discourse.

We differentiate between fostering respect and expecting civility. Respect is an attitude of admiration and esteem. It is deeply personal, and to be true it is something that must be earned. We shall do our best to foster it, but we must acknowledge that it cannot be demanded, especially when people hold deeply conflicting views. Civility on the other hand is a behavioural norm, it is a standard of behaviour that is set by a Community and expected in social interactions, regardless of whether one holds admiration or esteem for the other. And we must be able to demand this of our members.

It is our expectation that when such contentious matters are discussed at the University, they are done with civility that is an expectation at King's. A debate on these matters at King's is different from a free-for-all at Hyde Park. Within the law, our students and staff are entitled to hold and express their views and express them [within the limit of the law], even views that are offensive to others. But they are not allowed to harass, bully, or intimidate individuals or groups.

Those of opposing views owe each other the civility to present their views based on reason, to listen and respond to counterarguments. The intent is not to convince the other, but to understand the other point of view. Civility in these debates is enabled because the University is not there to declare a winner or a winning position. But in upholding value-based impartiality, it will call out behaviour that does not uphold civility and will take action when it violates our policies regarding misconduct.

- **Expression of Impartiality with Independence**

There are many who will not agree with this position, especially when it comes to a cause or a view they feel so dearly about. To ensure that the wisdom of this value-based impartiality is supported over time, it is critical that it be applied with fair and unbiased judgement and independence across all instances, regardless of pressures from within and without. It is acknowledged that at times this will be difficult, but only when this impartiality is expressed independently, and over time, will we fulfil our Duty and serve our Community.

VST Paper Presented by 'Funmi Olonisakin

Academic Board	
Meeting date	13 December 2023
Paper reference	AB-23-12-13-06.1
Status	Final
Access	Reserved items redacted due to S.43, commercial interests

Vice-Chancellor's Report

Action required

☐ For approval
☐ To recommend for approval
☐ For discussion
☒ To note

Paper Explanation for Members

Why is this paper being presented?	Report from Vice-Chancellor & President highlighting current issues and events and developments since the last meeting of Academic Board
What are the key points/issues?	Admissions, King's Doctoral College, Campus Futures, PFI insourcing, AI courses, Academic titles, AEP Review Group
What is required from members?	To note

Paper Submitted by:
Vice-Chancellor & President

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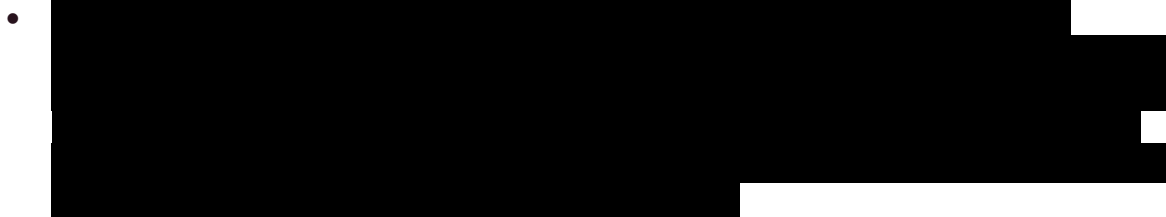
King's Doctoral College

King's Doctoral College launches in October 2024, at the start of the 2024/25 academic year. Establishing the Doctoral College will increase the visibility of our doctoral community both externally and internally, bringing further cohesion whilst maintaining faculty identity. It is a positive development to highlight in REF2028 and to facilitate increases in doctoral students in faculties/disciplines where growth is strategically beneficial.

All King's doctoral students will be members of this overarching entity from enrolment to completion. It is a natural progression from the current Centre for Doctoral Studies (CDS), established in 2018. CDS will change its name to King's Doctoral College. The Deans for Doctoral Studies and CDS staff will lead the implementation. This work is happening in consultation with the Faculty Associate Deans for Doctoral Studies (PGR leads) and with King's Doctoral Students Association (KDSA), who are supportive of this initiative. The launch of King's Doctoral College will include:
- Fully refreshed central web presence, linking to Faculty information.
- Strategic review of existing funding and future priorities & opportunities.
- Identified EDI targets and new EDI projects, building on disability & recruitment work through Research Culture funding.

Campus Futures

The Campus Futures Programme (CFP) has been set up to oversee and ensure timely delivery of the transformation of our campuses required to achieve Strategy 2026 goals and longer-term Campus sustainability ambitions. This Programme is informed primarily by the 2023 Strand-Waterloo Masterplanning Framework presented to Council in September 2023 along with existing Masterplanning and Estates prioritisation for our Health Campuses. The University Executive have approved £3.7m from SCIF to build the CFP management team over the next three years, including embedding support for new ways of working into Faculties.

The three immediate priority projects within the CFP are:
1. Delivery of the Estates component (£34m) for implementation of the **King's Interdisciplinary Science** project. The Full Business Case was considered at November Council which has been fully scrutinised and tested through King's Governance structures and represents value for money and close alignment to Strategy 2026 goals with new teaching spaces coming online for 2024 and phase 1 project completion by 2026.
2. **Strand-Waterloo Reconfiguration**: the most time critical element of which is the vacation of the Virginia Woolf Building and reconfiguration of our Strand-Waterloo Campuses within footprint, enabled by new ways of working, informed by the 2023 Masterplanning Framework. Scope, scale and timing of individual move projects to be defined by January 2024 ready for implementation from 2025 onwards.
3. Redevelopment of **Bush House South-West Wing** to complete the development of the Student Precinct adjacent to the pedestrianised Strand and accommodate our planned growth with novel infrastructure solutions for new ways of working. UE are considering the release of the next tranche of funding (£3.1m) in November, to progress the design to the next gateway. The Full Business Case will come forward for consideration in 2024 with delivery in 2026.

Other projects will be developed across our wider London campuses as the CFP progresses and the Governance Structure has been designed for future scaling of activity.

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King's Academy Generative AI course.
King's Academy has designed a new Generative AI in HE course designed as a starting point for developing AI literacy. The course explores foundational concepts and big debates, AI applications in teaching, learning and assessment practices and considers some of the key implications for student employability in a rapidly changing landscape. The course is free via the FutureLearn platform.

Academic Titles
Following a discussion at the last Academic Board meeting, comparative Russell Group data on academic titles was subsequently sought and considered at Academic Staff Committee (ASC). Whilst ASC welcomed the discussion and were generally supportive of a review of more senior academic titles, it was recognised that this work would require further consideration and this will be picked up in the work of ASC next year.

Academic Education Pathway (AEP) Review Group
The AEP review group has been set up with the following membership and chaired by Professor Ian McFazdean.

A&H	Helen Brookman
CIEL	Jonas Langner
DPSOL	Mike Butler
FoLSM	Ian McFadzean (chair)
FoDOCS	Melanie Nasseripour
IoPPN	Salim Hashmi
KBS	Craig Robinson
King's Academy	Rebecca Linder
NMES	Furqaan Yusaf
NMPC	Shelley McLetchie
SSPP	Natasha Kuhrt
Vice President (Education & Student	Adam Fagan
HR Director of People Partnering	Imtiaz Ali
HR Director of Remuneration & Policy	Nigel Brailsford
REF Delivery Director	Jo Lakey
Project management	Charlotte Yuen

Following Academic Board feedback, all faculties will now be represented and particular care has been taken to ensure that all academic grades are represented. The inaugural meeting will take place on 6 December and it is currently planned for the group to meet three times in total, with the last meeting likely to be held shortly before AP2 starts on 29 April. This will allow the report / recommendations to be written up in time for the Academic Staff Committee meetings in June.

Shitij Kapur, Vice-Chancellor & President
November 2023

EDI – Update on Current Activity and Plans

Action required

☐ For approval
☐ To recommend for approval
☒ For discussion
☐ To note

Paper Explanation for Members

Why is this paper being presented?	Academic Board has asked for regular updates on EDI and receives these reports at regular intervals.
What are the key points/issues?	An update on current EDI activity, issues and plans
What is required from members?	For discussion and Information

Paper Submitted by:

Lorraine Kelly
Director, Organisational Development/Equality, Diversity, and Inclusion

Harjeet Moore
Head of Equality, Diversity & Inclusion (interim)
20 November 2023

Equality, Diversity & Inclusion Update

Introduction

Our people are key to King's success. Strategy 2026 sets out our ambition to create a greater sense of belonging within and across our staff community. Equality, Diversity & Inclusion (EDI) is a central tenet of King's Strategy, which commits to fostering a thriving staff community. Our priorities include diversifying our workforce, delivering bespoke inclusion activities and engagement opportunities. As well as embedding EDI into our Organisational strategy, King's makes use of external expertise to provide a framework for progressing our goals, such as Athena Swan, the Race Equality Charter, Stonewall, Business Disability Forum, and Working Families.

Our staff community networks continue to flourish, comprising our: Gender Equality Network (Elevate), Race Equality Network (REN), Parents & Carers' Network (NEST), LGBTQ+ Network (Proudly King's), and Disability Network (Access King's). Each network now benefits from formalised recognition in the form of training support for network chairs and committee members, and an increased budget dedicated to supporting their work.

We are proud of the progress we have made and remain committed to investing in the future of all staff so we can thrive personally and professionally, while being respected, valued, and challenged to be our best. This report outlines some of our recent and ongoing projects.

Management & Leadership and Mentoring Schemes

King's is committed to empowering staff to build their chosen careers, both at King's and beyond, and across the range of job families and specialisms. We have expanded the volume and frequency of our Organisational Development's leadership programmes, and embedded inclusive practice. We have provided a second annual offering of Emerging and Strategic programmes. Additionally, programmes for New and Aspiring Managers have been introduced to deliver training across all management levels. We have developed a specialist programme for our Academic Leaders and Heads of Department. In 2024, a new Established Managers programme will be piloted to enhance the management training provision, as well as the continuation of the Personal Effectiveness Bootcamps, which allow all staff to focus on personal and professional development.

In October we launched a dedicated women's leadership development and sponsorship programme, partnering with Advanced HE. A refreshed Career Essentials Hub was launched earlier in 2023, and we are further expanding our Professional Services focussed skills-led development portfolio to support staff to define and progress through career pathways. We participate in the Aurora programme for women, and the StellarHE programme for leadership development programme for Black and minoritised ethnic academics, researchers and professional services staff.

New Schemes

Into Academia Ethnic Minority Mentoring: Scheme is our newly launched mentoring scheme for Black, Asian and minority ethnic undergraduate students who are considering a career in academia. Mentees will be paired with academics and researchers from King's.

Senior Women Leadership Development Programme (pilot): Advance HE's Senior Women's Leadership Development Programme is designed specifically for women in senior positions in HE to help them take the next step up or extend their role, profile and impact. We have four staff members enrolled.

Currently Underway: **Aurora:** Aurora is for women, up to senior lecturer level or the professional services equivalent. 77 (5 receiving EDI funding) staff have been enrolled on the scheme.

Upcoming: **B-Mentor:** this is a cross-institutional scheme run by UCL. It is open to academic, research and professional services staff. Mentees must be from a Black, Asian and Minority Ethnic background, whilst mentors can be from any ethnic background. **2023 cohort:** King's had 36 participants: 4 academic mentors, 9 academic mentees, 8 PS mentors and 15 PS mentees. **2024 cohort** is due to be recruited in November.

Stellar HE: this scheme is a targeted leadership development programme to support Black, Asian and Minority Ethnic academics, researchers and Professional Services staff. **2023 cohort**: 17 participants from across King's are currently coming to the end of their time on the scheme. This has been our largest intake on the scheme and we have also provided the highest number of delegates this year of all institutions taking part. **2024 cohort**: Recruitment is now underway to select participants for the next intake of the scheme.

Beyond StellarHE Event: This event marks the formal conclusion of the scheme for participants and is hosted by a different institution each year. This year we will be hosting the event for the first time on the 28 November 2023 with our provider Diversity Practice. There will be approximately 60 delegates from across the country.

Completed

More than Mentoring: Scheme matches participant where possible with shared lived experience to enable mentees and mentors to foster a deeper connection and sense of understanding over an approximately six-month period. **2023 cohort:** On 10 October 2023 the EDI team hosted a in person celebration event to thank participants for taking part and to sign post to new opportunities. This year we received 276 applications, with 124 active mentoring partnerships recorded at the close of the scheme.

EDI and Wellbeing

We are committed to providing an environment where wellbeing is prioritised, and King's values and behaviours are lived by all our staff. We continue to implement recommendations from the Staff Wellbeing Review carried out in 2022. Having reinstated and broadened the usage of wellbeing days in September 2022, we are now seeking to embed them into our standard staff annual leave offer from January 2024, to ensure all staff have equal access to them.

We have launched and continued to improve our Staff Wellbeing & Mental Health intranet pages to act as a one-stop-shop for staff seeking support for themselves and others. In January, we held a highly rated five-week Staff Wellbeing Festival, drawing upon internal and external expertise to host a range of learning, experiential and community-building activities, based upon King's Five Ways to Wellbeing. Mindful of rising cost-of-living pressures, we developed an online hub for staff to signpost support and guidance, including details of a newly launched interest-free short-term Staff Welfare Loan Scheme.

In March, Council established the Staff Culture & Strategy Committee as a standing committee of Council, with internal staff representatives and Non-Executive members coming together to provide advice and guidance on King's Thriving Staff Community agenda and ambitions. In 2024, we will launch a Staff Wellbeing Network to strengthen communications, awareness and knowledge about mental health and wellbeing as well as contributing to policy and guidance across the staff and student experience.

To support the development of a thriving King's staff community and as part of King's commitment to embedding a whole-university approach to mental health and wellbeing (as part of the University Mental Health Charter Programme), we are working on several projects to help to create a culture of wellbeing and belonging.

Staff Wellbeing Network: Currently, plans are in place to form a new network of wellbeing advocates to support and create awareness of the importance of wellbeing at King's.

Mental Health First Aiders: Working with Counselling and Mental Health Support Services, we are in the process of implementing a MHFA network. This will include creating role profiles, resources and escalation processes.

Wellbeing hub: A new intersectional wellbeing SharePoint hub will be available from November, containing key evidence-based health and wellbeing information to inform staff, including topics such as mental health, menopause, menstruation, men's health, women's health and more.

Bullying and harassment
King's is committed to protecting the dignity of all our staff in their work and interactions with others. This includes providing a working and learning environment that is free from bullying, harassment, sexual misconduct and hate crime. The Staff Survey showed that 11% of staff have experienced bullying or harassment and 18% have witness bullying and harassment. Tackling bullying and harassment is a key theme from the Staff Survey Action Plan and below summarises some of the actions already in progress.

Report + Support
The University launched its new reporting tool, Report + Support, in September 2022. Whilst the online platform can be used by both staff and students, it was primarily promoted to students in its first year.

Between 1 September 2022 and 31 August 2023, King's received 456 reports - 210 named and 246 anonymous. Reports were largely from students (267) and staff (121) with a small number made by visitors, agency workers, or those that preferred not to disclose their role. Reports summarising the first year of Report + Support data for Faculties and Professional Services Directorates have been produced and will be used in conjunction with local Staff Survey Action plans to inform work in this area.

Communications Campaign
We launched a communications campaign to promote Report + Support for Anti-Bullying Week (13 – 17 November). Aimed at both staff and students it included a poster campaign, news articles on the student App, King's Essentials, the intranet and use of Staff Networks. The impact of the campaign will be carefully measured by reviewing any increases in the number of reports received via Report + Support, Student Conduct & Appeals or the Employee Relations Team. This will inform the number and frequency of future campaigns and whether further resources re required to manage reports.

Placements
Racism, bullying and harassment on placements is a significant issue for our students, especially those in the Health faculties. We have been meeting with each Faculty to identify common issues, trends and possible solutions. We are also collaborating with colleagues in Strategy, Planning & Analytics to undertake a student journey mapping exercise for their experience of reporting any forms of bullying or harassment whilst on placement. From this mapping, we can understand and visibly show pain points in the process and the emotional journey that is experienced in each activity or touchpoints – whether that would be from their placements or at King's. It also helps us see how and who the students interact within and outside the organisation and allows us to concentrate on activities that are most important in order to maximise effectiveness.

Action Planning
We will be bringing key stakeholders from across the College together in a working group to collaborate on developing an action plan to address bullying and harassment. This is likely to include developing toolkits, reviewing current policies and processes relating to bullying and harassment, and analysing the operating models for Confidential Advisor Roles employed in some Faculties.

Disability Inclusion Disability Inclusion remains a priority and increased resource has been allocated via a new role of EDI Manager – Disability Inclusion in the EDI team. The Disability Inclusion Hub has been updated to include improved guidance for staff around workplace adjustments, campus accessibility and inclusive practice. Alongside improved guidance, work is underway to improve the adjustments processes for staff at King's, including the development of a Staff Adjustments Passport scheme, due to be piloted in early 2024. The Disability Inclusion Steering Group and Senior Sponsor, Professor Richard Trembath, continue to provide leadership in this area.

Individual Adjustments Plan scheme: Work is underway to develop an individual adjustments plan scheme to provide staff with a framework and record for workplace adjustments. The aim is to pilot the scheme from January 2024 in seven pilot areas: Arts & Humanities, School of Neuroscience (IoPPN), King's Business School, Research Innovation and Management, Student Services (SED), School of Cancer & Pharmaceutical Sciences (FoLSM) and Facilities Managements and King's Community Business Services (E&F). The Working Group

developing the project has been meeting since July and includes representatives from the pilot sites and other key stakeholders including HR and Health & Safety Services. The Individual Adjustments Plan will be a digital record supported by an automated process to ensure adjustments requests are dealt with in a timely and appropriate manner by line managers. IT and HR Technology Solutions colleagues are supporting this element of the project and we are currently in the research phase to determine the digital platform and system that can support these aims.

Hidden Disabilities Sunflower scheme: King's has launched the Hidden Disabilities Sunflower to support and raise awareness of those living with a non-visible disability. Staff, students and visitors can choose to wear a lanyard bearing a Sunflower logo as a subtle way of letting others know that they have a non-visible disability or condition and may require additional support, understanding or a bit more time. As of reporting, one of our distribution points has had to be restocked already, and 398 staff members have completed the training video. We are now starting new phases of the project such as ongoing stakeholder engagement work, local briefings and training promotion.

Digital accessibility: King's is not yet compliant with the requirements of the Public Sector Bodies (Websites and Mobile Applications) Accessibility Regulations 2018. We have assessed the issues remaining for King's and an update is going to the Audit, Risk & Compliance Committee in November to reassess the level of risk. Further work is required to ensure we have the expertise and leadership required to improve digital accessibility at King's and further updates will be provided as this progresses.

Race Equality Maturity Model
We continue to progress our race equality work through our Race Equality Action Plan (REAP) and are in the process of reviewing it to ensure all actions remain fit for purpose. In order to embed this work into our business as usual, we have developed (and consulted on) a Race Equality Maturity Model. The maturity model is a framework for assessing King's progress in this area, as well as prioritising areas of work. It is based on the Race Equality Action Plan and outlines how areas can progress across five levels. The model was developed in conjunction with experts in this field, including Leverhulme Visiting Professor Camara Jones.

Gender Equality
We continue to progress our commitment to Gender Equality and have adopted the Athena SWAN self-assessment framework to help us understand and develop gender equality (including trans equality) across the institution. We continue to grow our talent pool through Aurora leadership programme for women. We recognise that flexible working can support our people both their professional and personal lives. All staff regardless of length of service may ask to work flexibly, and we are committed to agreeing to requests if they meet the needs and objectives of both the individual and the university.

We are committed to providing a working environment and culture that supports parents and carers. This includes generous parental leave and pay, sharing parental leave, preparing to return to work, options to maintain a work/life balance and childcare and a number of support options. Additional maternity and Paternity leave will be available from January 2024, alongside day one maternity rights for our community. In May we launched a childcare offer of a 20% subsidy on early years childcare with Busy Bees.

LGBTQ+ Inclusion
King's is committed to providing an outstanding staff and student experience, underpinned by inclusivity, equity, diversity, and opportunity for everyone – regardless of sexual orientation, gender identity or trans identity/history. We continue to build our LGBTQ+ Toolkit, providing resources to support our people and to provide guidance to line managers an example such as our Trans Inclusion Toolkit. This includes personal tutors supporting trans students and line managers supporting trans staff. The toolkit is regularly updated.

New EDI training sessions available on Skills Forge
We are working with Organisational Development to relocate all EDI training and development programmes to the OD intranet pages, with new pages launching in January 2024. This is for ease of access and participation.

Disability in the workplace	Staff executing Equality Impact Assessments	EDI committee and network training
Tackling Microaggression	Senior Leaders Equality Impact Assessments	Supporting Mental Health at Work (staff and managers sessions)
Trans and Gender Identity in the Workplace (staff and managers sessions)	Unconscious Bias	Supporting employees through the menopause

Launching soon: **Disrupting racism.** Originally developed by Estates & Facilities, Disrupting Racism is a training programme that combines live sessions and self-directed study. Any member of King's staff can register when it opens in November, and delivery begins in January.

New EDI SharePoint site with new toolkits
To build awareness and understanding across King's, we are currently in the process of creating 30 new toolkits falling under the below topics:

Bullying and Harassment, EDI Data Monitoring, Call Me By My Name, Exit Interviews, Equality Impact Assessments, Gender Equality, Inclusion and Awareness Calendar, inclusive Recruitment, Inclusive Communications, LGBTQ+ Hub, Microaggressions, Mentoring, Neurodiversity, Parents and Carers, Race Equality, Religion and Belief, Unconscious Bias, Wellbeing, Intersectionality.

The new SharePoint site will be launched Mid November and toolkits will be developed and added across the next six months.

Academic Board	
Meeting date	13 December 2023
Paper reference	AB-23-12-13-07
Status	Final

KCLSU President's Report

Action required

☐ For approval
☐ To recommend for approval
☐ For discussion
☒ To note

Paper Explanation for Members

Why is this paper being presented?	Academic Board receives a report from the King's College London Students' Union (KCLSU) at each of its meetings.
What are the key points/issues?	• KCLSU training of Academic Representatives. • Commitment to working with the SSTP Programme. • VPEH Janvi Jagasia and VPPG Alizeh Abrar working with Director of Service Delivery (Students & Education) to make short term improvements to timetabling.
What is required from members?	It will be appreciated by the officers' team if members can help in refining the objectives, direct officers to relevant support channels and members who can cooperate and help in achieving the goals

Paper Submitted by:

Steven Suresh, KCLSU President

KCLSU President's Report

KCLSU Training Academic Representatives

- 919 Academic Representatives from different faculties at KCL were elected/selected.
- KCLSU helped ratify these representatives by providing with an extensive training programme to equip them to become better capable for their role.
- Training included sessions such as "How to collect data?", "How to signpost students?" and public speaking sessions. Workshops were also delivered based on NSS and PTES scores.
- KCLSU has trained 559 Academic Representatives so far (60%+) and is continuing to train the remaining Academic Representatives.
- KCLSU will be hosting termly Education Collectives, which is a forum where Academic Representatives from different faculties can come together and identify issues they are facing to collaborate for collective change.

Commitment to working with the Student Success Transformation Programme (SSTP)

- One of Keith Zimmerman's first appointments was an allocation of funds to allow KCLSU to have a full-time staff member that specialises in Student Voice Design. This individual will be working closely with Keith and the SSTP team to work collaboratively to include student voice at the heart of the programme and it's transformation to the services at KCL.
- Keith has also invited Steven Suresh, the KCLSU President to the Student Success Transformation Board, which oversees the progress and development of the programme.
- As an Officer Team, we believe that the changes that SSTP is aiming to implement would positively transform the experience of every single student at KCL. On an individual note, Steven is excited to see some of these changes in place prior to him going back to his 3rd year at KCL after his term ends in July 2024.
- We are committed to working in partnership with Keith and the SSTP team to help in any way we can.

Making short-term improvements to timetabling

The Vice-President Education (Health), Janvi Jagasia, and the Vice-President Postgraduate, Alizeh Abrar, are working with the Director of Service Delivery (Students & Education) to make short-term improvements to timetabling at KCL. They are currently discussing what smaller possibilities exist to improve timetabling. This is an ongoing area of discussion.

Academic Board	
Meeting date	13 December 2023
Paper reference	AB-23-12-13-08.1
Status	Final
Access	Members and senior executives

Report of the College Education Committee

Contents	Meeting at which considered	Main or Consent agenda	Academic Board action	Reserved item?
1. King's Online Managed Programmes Academic Calendar [Annex 1]	15 November 2023	Consent	Approve	No
2. Lifelong Learning Entitlement	15 November 2023	Consent	Note	No
3. Review of UK Transnational Education Case Study	15 November 2023	Consent	Note	No
4. Academic Skills update	15 November 2023	Consent	Note	No
5. King's Education Awards 2023-24	15 November 2023	Consent	Note	No
6. Professional, Statutory and Regulatory Body Reports	15 November 2023	Consent	Note	No
7. Periodic Programme Review reports	15 November 2023	Consent	Note	No
8. Reports of Sub-Committees	15 November 2023	Consent	Note	No

For approval

1. King's Online Managed Programmes Academic Calendar

Motion: That Academic Board approve the King's Online Managed Programmes Academic Calendar for 2024/25 [**see Annex 1**]

Background: The academic calendars for King's Online Managed Programmes run in partnership with Boundless Learning (previously known as Pearson), have until now been jointly approved by King's Online (now King's Digital), and Boundless Learning, through the Joint Steering Committee. To fall in line with the governance route for approving all academic calendars of the University, King's Digital are submitting to Academic Board the 2024/25 academic calendar for approval and noting that until all programmes are taught out by 2031, the academic calendars for these programmes will be approved by Academic Board on an annual basis, rather than the ten-year basis for other academic calendars of the University.

For note

2. Lifelong Learning Entitlement
This Department of Education scheme will come into force in 2027. It will give individuals up to the age of 60 access to a loan that will cover the costs of the equivalent of four years of post-18 study. Consultations are ongoing, with one being from the Office for Students (OfS) on how they will regulate the scheme, particularly relating to Ongoing Condition of Registration B3: Student Outcomes.

Key benefits to the scheme include:

- Enabling workers to retrain and upskill.

- All in-person learners will be able to access maintenance funds.

- Potential of improving access to studies for those students coming from disadvantaged backgrounds.

In discussion the following was noted:

- The module has to be part of a programme of study: it cannot be stand-alone.

- A new credit-based method for calculating fees will be needed and consideration of this will be coming out in due course.

- A system of credit transfer has yet to be developed.

- Concerns have been raised around data sharing across institutions e.g., relating to disciplinary matters.

- OfS proposal of monitoring at modular level has been raised as a concern due to accuracy unease.

- While a pilot has been held (104 programmes, across 24 institutions) only 33 applicants contacted the Student Loan Company, which raised doubts on the requirement of the scheme.

- The Higher Education Policy Institute (HEPI) has raised concern of all modules across the sector being equitable.

- Universities may not be currently set up to support students on this type of provision.

- There are questions over how a student can have a sense of community if they are completing their studies all over the sector.

- There are regulatory implications to the scheme that still need to be resolved e.g., how will degree algorithms work if the student is only completing one module? Who will be awarding the degree, etc.

The Committee agreed that currently, as the scheme stands, there are concerns about the proposal and until more information is available there is little to recommend discussing further.

3. Review of UK Transnational Education Case Study

Following our submission to the Quality Assurance Agency for Higher Education (QAA) QE-TNE Scheme in 2022/23 regarding the University's collaborative activity in China, the QAA have asked King's to produce a case-study based on our online postgraduate programmes, challenging international perceptions of the quality of online programmes versus on-campus programmes. While the case study was initially to be based on China, the QAA have asked the University to broaden the case study globally.

The Committee endorsed the draft case study to be forwarded on to the QAA, who will provide their feedback, before a final version comes to Academic Board for approval. Once approved, the QAA will be publishing the case study for UK and international universities to access.

4. Academic Skills update

The Committee received an update on the Academic Skills project, endorsing the recommendations that faculties include and support Academic Skills provision in their Integrated Planning Process (IPP) narratives and that Vice Deans Education discuss with their Executive Deans of Faculty the integration of academic skills into curriculum.

5. King's Education Awards 2023-24

The Committee received an overview of King's Education Awards 2023, and outline plans for the awards in 2024. In 2023, King's Academy received 1,233 nominations – a 15% increase from 2022 – and awarded seven winners.

6. Professional, Statutory and Regulatory Body Reports

The Committee received re-accreditation reports from the General Medical Council and The British Psychological Society, both providing assurance of our provision.

7. Periodic Programme Review reports

The committee received the following periodic programme review reports from reviews held in 2022/23:

- MSc Public Policy and Management

- MSc Global Mental Health

Both programmes were re-approved for a further six years.

8. Report of Sub-Committees

The Committee received written reports from the October meeting of the Programme Development and Approval Sub-Committee (PDASC) and the September meeting of the Academic Standards Sub-Committee.

A verbal report was presented on the newly established Education Executive noting that the Executive had been established to enable Vice Deans of Education to have greater deliberation of education matters prior to them coming to College Education Committee for final approval. The Executive will make decisions on what the education priorities for the University are and have oversight of all education related working groups/Task and Finish Groups (including SSTP projects), reviewing the timeframes that these groups will be working towards. Each member will sponsor an agenda item that comes to the Executive, presenting the item and leading the discussions to be held.

The Executive has met twice (launch event in October, and first meeting on 8 November) and the following was discussed:

- Terms of Reference and membership of the group.

- Education priorities for the year that includes, but is not limited to, assessment and feedback, admissions, student voice, personal tutoring, reviewing emergency regulations and timetabling.

- Review of existing/paused working groups and task and finish groups, noting that a lot of these groups have the Vice Deans of Education as members, with potentially some cross-over of work.

- Attendance and Engagement procedures to be produced, following the approval in July of the revised Attendance and Engagement Policy and Core Code of Practice.

King's Online Managed Programmes Academic Calendar

Action required

☐ To recommend for approval
☒ For approval
☐ For discussion
☐ To note

Executive Summary

Why is this paper being presented?	The academic calendars for King's Online (KoL) Managed Programmes, the portfolio of 12 online programmes run in partnership with Boundless Learning, have until now been jointly approved by King's Online, now King's Digital, and Boundless Learning through the Joint Steering Committee. The Academic Calendar Working Group (ACWG) notified King's Digital in 2023 that going forward calendars produced by King's Digital, including those for the managed programmes, must be approved by Academic Board. King's Digital were asked to consider if KoL academic calendars could be approved until the programmes close. **Programmes using the King's Online Managed Programmes Academic Calendar** **Category A** **Institute of Psychiatry, Psychology & Neuroscience** • Applied Neuroscience • Psychology & Neuroscience of Mental Health *Programmes will continue to admit new students in partnership with Boundless Learning until 2027.* **Faculty of Social Science & Public Policy** • Global Security • International Affairs *Programmes will continue to admit new students in partnership with Boundless until 2031.* **Category B** **Faculty of Arts & Humanities** • Global Cultures **King's Business School** • Global Finance Analytics • Global Finance & Banking • Marketing **The Dickson Poon School of Law** • International Corporate & Commercial Law • International Finance & Commercial Law

Faculty of Life Sciences & Medicine
• Public Health
Faculty of Natural, Mathematical & Engineering Sciences
• Advanced Cyber Security
Faculty of Social Science & Public Policy
 • International School for Government (short courses)
Programmes are no longer accepting new students.

Academic Board are asked to:

1. Approve the Academic Calendar for King's Online Managed Programmes 2024-2025.
2. Note that until all programmes are taught out in 2031, the academic calendars for the King's Online Managed Programmes are approved by Academic Board on an annual, rather than ten-year basis, at the annual June meeting*

*King's Digital will submit the 2025-6 academic calendar for final approval at the Academic Board meeting in June 2024.

What are the key points/issues?	**Key Dates in the Academic Calendar** The KoL Managed Programmes have six teaching periods in a calendar year. Students may apply to join a Category A programme in any of the listed teaching periods. All new students are required to complete the module enrolment task by the second day of teaching. Students who have completed the required number of credits for their chosen award, may exit their programme in any of the teaching periods. Existing students are invited to an in-person graduation ceremony in either January or July of each year. Each teaching period is six weeks in length. All teaching takes place online with synchronous teaching in weekly webinars and asynchronous self-directed learning. Assessment patterns on each programme vary and include formative and summative assessments scheduled during the six weeks. The gap between teaching periods is for marking, calculations of student progression and examination boards. The latest point at which examination boards may be held is the third Friday in week 3. **Challenges** King's academic calendar for on-campus programmes is approved on a ten-year basis. To maintain standards in service delivery within the constraints of the business model, King's has to be nimble and responsive to the needs of students and stakeholders within King's and Boundless Learning. Planning in faculties and the production of academic calendars has always happened on an annual basis, with approved calendars circulated to King's internal stakeholders 12-14 months before the first listed teaching period. As

	teaching periods are run back-to-back, any required changes to operational planning will impact teaching period start and end dates. The amendment to student payment deadlines and terms and conditions are presented as an example of a nimble operational improvement to the Committee.
	It must also be highlighted that in early 2024, King's Digital will be submitting additional academic calendars for cohorts following the new structure of the category B programmes. Faculties and central teams will require more agility to operate multiple online programmes to different calendars. Without knowledge of the requirements of the new category B programmes, King's Digital does not recommend that all calendar dates are confirmed until 2031.
What is required from members?	To approve the academic calendar to allow programmes (category A) to open in King's Apply in December 2023. To note that the KoL academic calendar is approved on an annual basis rather than a ten-year period.

Paper History

Action Taken	By Committee	Date
Discussed	Academic Calendar Working Group	2 October 2023
Recommended for Approval	King's Digital & Boundless Learning	1 November 2023
Recommended for Approval	Operational Services Group 1 November	1 November 2023

Paper Submitted by:
Anna Sharples, Project Manager (Operations), King's Digital

Academic Calendar Sept 24 - July 25

TEACHING PERIOD 1 (SEPTEMBER)

MON	TUE	WED	THURS	FRI	SAT	SUN
02-Sep	03-Sep	04-Sep	05-Sep	06-Sep	07-Sep	08-Sep
	Teaching Period Start		Enrolment Deadline			
09-Sep	10-Sep	11-Sep	12-Sep	13-Sep	14-Sep	15-Sep
16-Sep	17-Sep	18-Sep	19-Sep	20-Sep	21-Sep	22-Sep
				Exam Board Deadline		
23-Sep	24-Sep	25-Sep	26-Sep	27-Sep	28-Sep	29-Sep
30-Sep	01-Oct	02-Oct	03-Oct	04-Oct	05-Oct	06-Oct
07-Oct	08-Oct	09-Oct	10-Oct	11-Oct	12-Oct	13-Oct
14-Oct	15-Oct	16-Oct	17-Oct	18-Oct	19-Oct	20-Oct
	Teaching Period End					
21-Oct	22-Oct	23-Oct	24-Oct	25-Oct	26-Oct	27-Oct

TEACHING PERIOD 2 (NOVEMBER)

MON	TUE	WED	THURS	FRI	SAT	SUN
28-Oct	29-Oct	30-Oct	31-Oct	01-Nov	02-Nov	03-Nov
	Teaching Period Start		Enrolment Deadline			
04-Nov	05-Nov	06-Nov	07-Nov	08-Nov	09-Nov	10-Nov
11-Nov	12-Nov	13-Nov	14-Nov	15-Nov	16-Nov	17-Nov
				Exam Board Deadline		
18-Nov	19-Nov	20-Nov	21-Nov	22-Nov	23-Nov	24-Nov
25-Nov	26-Nov	27-Nov	28-Nov	29-Nov	30-Nov	01-Dec
02-Dec	03-Dec	04-Dec	05-Dec	06-Dec	07-Dec	08-Dec
09-Dec	10-Dec	11-Dec	12-Dec	13-Dec	14-Dec	15-Dec
	Teaching Period End					
16-Dec	17-Dec	18-Dec	19-Dec	20-Dec	21-Dec	22-Dec
23-Dec	24-Dec	25-Dec	26-Dec	27-Dec	28-Dec	29-Dec
			CHRISTMAS CLOSURE			
30-Dec	31-Dec	01-Jan	02-Jan	03-Jan	04-Jan	05-Jan
		BANK HOLIDAY	College reopens			

TEACHING PERIOD 3 (JANUARY)

MON	TUE	WED	THURS	FRI	SAT	SUN
06-Jan	07-Jan	08-Jan	09-Jan	10-Jan	11-Jan	12-Jan
	Teaching Period Start		Enrolment Deadline			
13-Jan	14-Jan	15-Jan	16-Jan	17-Jan	18-Jan	19-Jan
20-Jan	21-Jan	22-Jan	23-Jan	24-Jan	25-Jan	26-Jan
				Exam Board Deadline		
27-Jan	28-Jan	29-Jan	30-Jan	31-Jan	01-Feb	02-Feb
03-Feb	04-Feb	05-Feb	06-Feb	07-Feb	08-Feb	09-Feb
10-Feb	11-Feb	12-Feb	13-Feb	14-Feb	15-Feb	16-Feb
17-Feb	18-Feb	19-Feb	20-Feb	21-Feb	22-Feb	23-Feb
	Teaching Period End					
24-Feb	25-Feb	26-Feb	27-Feb	28-Feb	01-Mar	02-Mar

TEACHING PERIOD 4 (MARCH)

MON	TUE	WED	THURS	FRI	SAT	SUN
03-Mar	04-Mar	05-Mar	06-Mar	07-Mar	08-Mar	09-Mar
	Teaching Period Start		Enrolment Deadline			
10-Mar	11-Mar	12-Mar	13-Mar	14-Mar	15-Mar	16-Mar
17-Mar	18-Mar	19-Mar	20-Mar	21-Mar	22-Mar	23-Mar
				Exam Board Deadline		
24-Mar	25-Mar	26-Mar	27-Mar	28-Mar	29-Mar	30-Mar
31-Mar	01-Apr	02-Apr	03-Apr	04-Apr	05-Apr	06-Apr
07-Apr	08-Apr	09-Apr	10-Apr	11-Apr	12-Apr	13-Apr
14-Apr	15-Apr	16-Apr	17-Apr	18-Apr	19-Apr	20-Apr
	Teaching Period End			BANK HOLIDAY		
21-Apr	22-Apr	23-Apr	24-Apr	25-Apr	26-Apr	27-Apr
BANK HOLIDAY						
28-Apr	29-Apr	30-Apr	01-May	02-May	03-May	04-May
05-May	06-May	07-May	08-May	09-May	10-May	11-May
BANK HOLIDAY						

TEACHING PERIOD 5 (MAY)

MON	TUE	WED	THURS	FRI	SAT	SUN
12-May	13-May	14-May	15-May	16-May	10-May	11-May
	Teaching Period Start		Enrolment Deadline			
19-May	20-May	21-May	22-May	23-May	17-May	18-May
26-May	27-May	28-May	29-May	30-May	24-May	25-May
BANK HOLIDAY				Exam Board Deadline		
02-Jun	03-Jun	04-Jun	05-Jun	06-Jun	31-May	01-Jun
09-Jun	10-Jun	11-Jun	12-Jun	13-Jun	07-Jun	08-Jun
16-Jun	17-Jun	18-Jun	19-Jun	20-Jun	14-Jun	15-Jun
23-Jun	24-Jun	25-Jun	26-Jun	27-Jun	21-Jun	22-Jun
	Teaching Period End					
30-Jun	01-Jul	02-Jul	03-Jul	04-Jul	05-Jul	06-Jul

TEACHING PERIOD 6 (JULY)

MON	TUE	WED	THURS	FRI	SAT	SUN
07-Jul	08-Jul	09-Jul	10-Jul	11-Jul	12-Jul	13-Jul
	Teaching Period Start		Enrolment Deadline			
14-Jul	15-Jul	16-Jul	17-Jul	18-Jul	19-Jul	20-Jul
21-Jul	22-Jul	23-Jul	24-Jul	25-Jul	26-Jul	27-Jul
				Exam Board Deadline		
28-Jul	29-Jul	30-Jul	31-Jul	01-Aug	02-Aug	03-Aug
04-Aug	05-Aug	06-Aug	07-Aug	08-Aug	09-Aug	10-Aug
11-Aug	12-Aug	13-Aug	14-Aug	15-Aug	16-Aug	17-Aug
18-Aug	19-Aug	20-Aug	21-Aug	22-Aug	23-Aug	24-Aug
	Teaching Period End					
25-Aug	26-Aug	27-Aug	28-Aug	29-Aug	30-Aug	01-Sep

Key

- Teaching Period
- Enrolment Deadline
- Payment Deadline
- Marking and Exam Boards
- Exam Board Deadline - No Boards after this point in TP
- College Closure

Academic Calendar Sept 24 - July 25

TEACHING PERIOD 1 (SEPTEMBER)

MON	TUE	WED	THURS	FRI	SAT	SUN
19-Aug	20-Aug (All student payment deadline TP 1)	21-Aug	22-Aug	23-Aug	24-Aug	25-Aug
26-Aug (BANK HOLIDAY)	27-Aug	28-Aug	29-Aug	30-Aug	31-Aug	01-Sep
02-Sep	03-Sep (Teaching Period Start)	04-Sep	05-Sep	06-Sep	07-Sep	08-Sep
09-Sep	10-Sep	11-Sep	12-Sep	13-Sep	14-Sep	15-Sep
16-Sep	17-Sep	18-Sep	19-Sep	20-Sep	21-Sep	22-Sep
23-Sep	24-Sep	25-Sep	26-Sep	27-Sep	28-Sep	29-Sep
30-Sep	01-Oct	02-Oct	03-Oct (Invoicing TP3 (New))	04-Oct	05-Oct	06-Oct
07-Oct	08-Oct (Invoicing TP2 (Old))	09-Oct	10-Oct	11-Oct	12-Oct	13-Oct
14-Oct	15-Oct (All student payment Deadline TP 2 (New))	16-Oct	17-Oct	18-Oct	19-Oct	20-Oct
21-Oct	22-Oct (All student payment Deadline TP 2 (Old))	23-Oct	24-Oct	25-Oct	26-Oct	27-Oct

TEACHING PERIOD 2 (NOVEMBER)

MON	TUE	WED	THURS	FRI	SAT	SUN
28-Oct	29-Oct	30-Oct	31-Oct	01-Nov	02-Nov	03-Nov
04-Nov	05-Nov (Teaching Period Start)	06-Nov	07-Nov	08-Nov	09-Nov	10-Nov
11-Nov	12-Nov	13-Nov	14-Nov	15-Nov	16-Nov	17-Nov
18-Nov	19-Nov	20-Nov	21-Nov	22-Nov	23-Nov	24-Nov
25-Nov	26-Nov	27-Nov	28-Nov	29-Nov	30-Nov	01-Dec
02-Dec	03-Dec	04-Dec	05-Dec (Invoicing TP3 (New))	06-Dec	07-Dec	08-Dec
09-Dec	10-Dec (Teaching Period End)	11-Dec	12-Dec (Invoicing TP3 (Old))	13-Dec	14-Dec	15-Dec
16-Dec	17-Dec (All student payment Deadline TP 3 (New))	18-Dec	19-Dec (Invoicing TP3 (Old))	20-Dec	21-Dec	22-Dec
23-Dec	24-Dec	25-Dec	26-Dec	CHRISTMAS CLOSURE		
30-Dec	31-Dec (BANK HOLIDAY)	01-Jan	02-Jan (All student payment Deadline TP 3 (Old))	03-Jan	04-Jan	05-Jan
				College reopens		

TEACHING PERIOD 3 (JANUARY)

MON	TUE	WED	THURS	FRI	SAT	SUN
06-Jan	07-Jan (Teaching Period Start)	08-Jan	09-Jan	10-Jan	11-Jan	12-Jan
13-Jan	14-Jan	15-Jan	16-Jan	17-Jan	18-Jan	19-Jan
20-Jan	21-Jan	22-Jan	23-Jan	24-Jan	25-Jan	26-Jan
27-Jan	28-Jan	29-Jan	30-Jan	31-Jan	01-Feb	02-Feb
03-Feb	04-Feb	05-Feb	06-Feb (Invoicing TP4 (New))	07-Feb	08-Feb	09-Feb
10-Feb	11-Feb	12-Feb	13-Feb	14-Feb	15-Feb	16-Feb
17-Feb	18-Feb (Invoicing TP4 (Old))	19-Feb	20-Feb	21-Feb	22-Feb	23-Feb
24-Feb	25-Feb (All student payment Deadline TP 4 (Old))	26-Feb	27-Feb	28-Feb	01-Mar	02-Mar

TEACHING PERIOD 4 (MARCH)

MON	TUE	WED	THURS	FRI	SAT	SUN
03-Mar	04-Mar (Teaching Period Start)	05-Mar	06-Mar	07-Mar	08-Mar	09-Mar
10-Mar	11-Mar	12-Mar	13-Mar	14-Mar	15-Mar	16-Mar
17-Mar	18-Mar	19-Mar	20-Mar	21-Mar	22-Mar	23-Mar
24-Mar	25-Mar	26-Mar	27-Mar	28-Mar	29-Mar	30-Mar
31-Mar	01-Apr	02-Apr	03-Apr	04-Apr	05-Apr	06-Apr
07-Apr	08-Apr	09-Apr	10-Apr	11-Apr	12-Apr	13-Apr
14-Apr	15-Apr (Teaching Period End)	16-Apr (Invoicing TP5 (New))	17-Apr	18-Apr (BANK HOLIDAY)	19-Apr	20-Apr
21-Apr (BANK HOLIDAY)	22-Apr (Invoicing TP5 (Old))	23-Apr	24-Apr	25-Apr (BANK HOLIDAY)	26-Apr	27-Apr
28-Apr	29-Apr (All student payment Deadline TP 5 (New))	30-Apr	01-May	02-May	03-May	04-May
05-May (BANK HOLIDAY)	06-May (All student payment Deadline TP 5 (Old))	07-May	08-May	09-May	10-May	11-May

TEACHING PERIOD 5 (MAY)

MON	TUE	WED	THURS	FRI	SAT	SUN
12-May	13-May (Teaching Period Start)	14-May	15-May	16-May	10-May	11-May
19-May	20-May	21-May	22-May	23-May	17-May	18-May
26-May (BANK HOLIDAY)	27-May	28-May	29-May	30-May	31-May	25-May
02-Jun	03-Jun	04-Jun	05-Jun	06-Jun	31-May	01-Jun
09-Jun	10-Jun	11-Jun	12-Jun	13-Jun	07-Jun	08-Jun
16-Jun	17-Jun	18-Jun	19-Jun (Invoicing TP6 (New))	20-Jun	14-Jun	15-Jun
23-Jun	24-Jun (Invoicing TP6 (Old))	25-Jun	26-Jun	27-Jun	21-Jun	22-Jun
30-Jun	01-Jul (All student payment Deadline TP 6 (Old))	02-Jul	03-Jul	04-Jul	05-Jul	06-Jul

TEACHING PERIOD 6 (JULY)

MON	TUE	WED	THURS	FRI	SAT	SUN
07-Jul	08-Jul	09-Jul	10-Jul	11-Jul	12-Jul	13-Jul
14-Jul	15-Jul (Teaching Period Start)	16-Jul	17-Jul	18-Jul	19-Jul	20-Jul
21-Jul	22-Jul	23-Jul	24-Jul	25-Jul	26-Jul	27-Jul
28-Jul	29-Jul	30-Jul	31-Jul	01-Aug	02-Aug	03-Aug
04-Aug	05-Aug	06-Aug	07-Aug	08-Aug	09-Aug	10-Aug
11-Aug	12-Aug	13-Aug	14-Aug	15-Aug	16-Aug	17-Aug
18-Aug	19-Aug	20-Aug	21-Aug	22-Aug	23-Aug	24-Aug
25-Aug	26-Aug	27-Aug (Teaching Period End)	28-Aug	29-Aug	30-Aug	01-Sep

Key - Changes to Invoicing and Payment Cycle

- Teaching Period
- Invoicing and Payments (using previous deadlines)
- Invoicing and Payments (New Deadline)
- College Closure

Report of the College Research Committee

Contents	Meeting at which considered	Main or Consent agenda	Academic Board action	Reserved item?
1. Proposal for New Equity Participation Policy **[Annex 1]**	Chair's Action	Consent	Approve	No
2. Policy on the Ethical Conduct of Research Involving Human Participants **[Annex 2]**	14 November	Consent	Approve	No
3. Research Capability Fund	14 November	Consent	Note	No
4. Establishment of King's Doctoral College	14 November	Consent	Note	No
5. Financial Sustainability of Research	14 November	Consent	Note	No
6. Multidisciplinary Institutes Call	14 November	Consent	Note	No

For approval

1. Proposal for New Equity Participation Policy [see Annex 1] **(consent)**

Motion: That Academic Board approves the proposal for a new equity participation policy within the Code of Practice for IP, Commercialisation and Financial Benefits.

Background: College Research Committee (CRC) members were asked, via email correspondence from the Chair, to review, comment on and approve a paper entitled, 'Proposal for New Equity Participation Policy within the Code of Practice for IP, Commercialisation and Financial Benefits'. The paper proposes a new, simple model for equity participation in new ventures we create from university research outputs by revising the current equity participation policy embedded within King's Code of Practice for IP, Commercial Exploitation and Financial Benefits. The recommendation is that King's adopts a revised model ('Active Shareholder') that:

- Maintains its current practice of hybrid deals that incorporate both equity and licence terms
- Reduces the University's founding equity from 50% to 20% thereby enabling founders to own more equity
- Adopts a low fixed royalty rate (1%) under the licence terms

Adoption of this model in conjunction with other wider efforts to invest in and develop King's innovation ecosystem will help the College to build a sustainable portfolio of ventures by encouraging the creation of more ventures and better supporting them to create impact. This will support us to move from 1% of academics as founders to 2% engaged with intellectual property and innovation at King's within three years. The model reflects the direction being taken in the UK and internationally (please follow the link for details of Imperial College's approach).

Committee members submitted one comment on the paper, that it be revised to more clearly define 'Founder' and 'co-Creator'. This change has been incorporated and the paper therefore approved by CRC. University Executive has also approved the paper.

2. Policy on Ethical Conduct of Research Involving Human Participants [see Annex 2] **(consent)**

Motion: That Academic Board approves the Policy on Ethical Conduct of Research Involving Human Participants.

Background: The Policy on Ethical Conduct of Research Involving Human Participants was considered at the College Research Committee meeting on 14 November.

The Director of Research Governance, Ethics and Integrity presented the policy which sets out the principles, responsibilities and requirements for all research involving human subjects and human subject data, conducted by King's staff, students or affiliates.

To date, the Research Ethics Office (REO) has referred to the UK Research Integrity Office (UKRIO) Code of Practice for Research, with King's-specific research ethics policy related guidance hosted on the research ethics intranet pages. A dedicated King's research ethics policy has now been developed so that all existing policy guidance is contained in a single document. The policy has been approved by the College Research Ethics Committee (CREC).

The policy provides King's staff, students and affiliates with a clear understanding of the ethical review process operated by the College; and supports a culture of academic freedom and excellence by providing a framework for review which subjects research proposals to a level of scrutiny that is in proportion to the risk of harm or adverse effect to participants, researchers, the College and to society as a whole.

The Research Ethics Office will develop a research ethics procedure to accompany this policy in 2024.

For note

3. Research Capability Fund (consent)
A new internal fund has been established to help supplement faculty investments in the largest or most ambitious funding applications, major strategic recruitments and other similar activities, the key criterion being that the investment will leverage significant external funding. The fund has a budget of £3m per year and will make individual awards of up to £500k, it is intended to be agile and responsive. Applications should be submitted or strongly supported by the relevant Executive Dean to demonstrate alignment with faculty priorities. This is a pilot scheme, which has been launched to energise and activate the academic community. Funding has been secured for the first year, after which the scheme will be reviewed and a decision will be taken on whether it should continue.

4. Establishment of King's Doctoral College (consent)
The Director of Research Talent presented a paper that proposed the establishment of a doctoral college, detailing the benefits for doing so, the resources required, and steps to be taken over the next year prior to the formal launch. The Committee were invited to discuss and comment on the proposal.

The new centre will be an evolution of the Centre for Doctoral Studies. The primary purpose of establishing it is to raise the visibility and profile of postgraduate research at King's. Additionally, it will be a very positive narrative for REF2028 and should help the college to tackle some of the EDI issues that have been identified at postgraduate level.

The proposal for the new centre was developed in consultation with the Associate Deans for Doctoral Studies. The Director of Research Talent emphasised the importance of Vice-Deans (Research) empowering these staff and ensuring that they have the resource required to do their jobs effectively.

The paper mentioned that the centre may seek an uplift in funding to enable it to offer an increased number of studentships, members asked about the scale of this uplift. At a previous meeting, a paper was presented which provided an overview of the scale and reach of the existing studentships budget. Between now and the launch of King's Doctoral College in October 2024, the Centre for Doctoral Studies will seek to improve visibility of this funding, as there is significant funding available centrally that many academic staff are not aware of or do not know how to access. Looking ahead the aspiration is to grow PGR numbers, though this is unlikely to happen in the next financial year. However, in the next two to three years the Vice-President (Research and Innovation) is keen to make the case for further investment in this area.

5. Financial Sustainability in Research (consent)

The Director of Research Sustainability presented a paper that detailed why the College chose to conduct a review of research spend efficiency and cost recovery, the work that has been undertaken by the team leading on this over the past year, and the next steps in the process. The Committee were invited to discuss the paper and highlight any areas of particular interest or concern.

Research spend efficiency and cost recovery were identified as priority areas for action as a result of the following:
- Feedback from researchers indicated that processes to support research spend were not fit for purpose and were therefore delaying or stalling research projects
- Data comparing research grant budget to research grant spend showed a sizeable gap between the two
- The TRAC system which helps calculate the cost of research in comparison to income received indicates that King's is sitting near the bottom of the Russell Group in terms of cost recovery

Following consultation with staff across the College, it was clear that three key factors were impacting research:
- Hiring of staff - the recruitment process is not optimal
- Purchasing of consumables, equipment - the procurement process can be complicated and slow
- Acquiring space - commissioning research space and accessing appropriate research space have both proven difficult

In order to address the issues relating to recruitment and procurement, a recruitment review and purchasing review have been carried out in parallel. The recruitment review was completed in 2022 and resulted in over 50 recommendations, which led to a number of teams being restructured and recruitment for additional posts. The purchasing review is ongoing, those leading it are currently considering solutions, which include making changes to existing processes and clarifying the operating model to ensure roles and responsibilities are clear. They expect to begin implementing the solutions in the new year. It was noted that both reviews revealed that issues do not result solely from processes managed by professional services teams, they are broader, meaning that future changes will likely impact faculties also.

The paper states that TRAC methodology does not always produce accurate results. Members questioned how useful the system was overall, given that researchers schedules vary greatly week to week. The Director of Research Sustainability stated that data provided by TRAC is the only information that the College has to benchmark itself against its peers but proposed that data resulting from the Time Allocation Survey could be presented at a future meeting to enable members to assess whether it accurately reflects their activity and commitments.

It was suggested that many researchers are unaware of how information provided in the Time Allocation Survey will be used. It was proposed that communications relating to the survey should clearly outline why the data is being collected and what it will be used to decide or inform, and felt that this transparency would result in a higher quantity of accurate data being submitted.

The Director of Research Sustainability emphasised the importance of improving the accuracy of data submitted, given that it is used to inform research strategy and could therefore influence decision-making at a senior level.

6. Multidisciplinary Institutes Call (consent)

The College has recently launched a call for new cross-University activities that draw together expertise from different faculties centred on a shared vision. The institutes will work alongside existing structures to create a platform for collaborative research. The opportunity is intended to complement other internal schemes, such as King's Together. The deadline for applications is 29 January 2024.

It was suggested that there would be value in all Vice-Deans (Research) meeting to review expressions of interest, as this will enable them to identify areas of overlap between faculties and support applicants to produce strong interdisciplinary applications. Additionally, the Research Development Managers could be engaged to identify researchers that would benefit from being involved.

Members asked how the institutes would be maintained longer-term. It was noted that the institutes will not employ academic staff or run degree modules, all activity will sit with the home faculty. In terms of funding, the College will need to measure the benefit of each institute and consider whether a centralised case can be made for ongoing investment.

Subject: Proposal for new equity participation policy within the Code of Practice for IP, Commercialisation and Financial Benefits.
Authors: Martin Kirk, Bashir Al-Hashimi, Ceri Margerison

Executive Summary

A very small number of King's academics (around 1%) are currently founders in new ventures that we create from University research. Our goal is to increase the number involved in intellectual property and innovation at King's to 2% within three years. However, our current model for equity participation in new ventures acts as a disincentive to new founders coming forwards, whilst leading to complex and inefficient negotiations with both founders and investors.

This paper proposes a new, simple, model for equity participation in new ventures we create from University research outputs by revising the current equity participation policy embedded within King's Code of Practice for IP, Commercial Exploitation and Financial Benefits. The Code applies to all personnel of the University, including undergraduate and postgraduate taught students engaged in research projects, however the revision applies only to paid academic staff. King's has supported student starts up through the Entrepreneurship Institute and the forthcoming LIHE incubator. Student IP requires a separate piece of work, which we will complete by early 2024.

This proposal aims to improve incentives for new ventures. This is an important change which will work in synergy with other efforts at King's to increase academic engagement with innovation, such as the review of the Knowledge Exchange Institutes, investment in 'Innovation@King's' and proposals to name the Accelerators at the Strand and St. Thomas'. Although this policy change will reduce the forecast commercial return per venture, overall, together with these wider efforts, it will lead to an increase in the number of new ventures and enhance the proportion of these which actually go on to achieve impact. The proposal will thereby increase the financial benefit to King's.

The proposal has been informed by a working group specifically formed for this purpose (extensive input from Mike Shaw, Julie Devonshire, Vanessa Morrison and Seb Ourselin), by further consultation internally (input from Tom Foulkes) externally (Richard Butt, CEO, Apollo Therapeutics; consultation with Cambridge University) and by reviewing models in use across the sector (e.g. Imperial, Oxford, Cambridge, UCL).

Our current policy prohibits the academic founders of staff-led spin outs from holding more than 50% of the voting share capital on establishment of the spin-out company. This acts as a disincentive to founders and investors. The formation of spin out companies takes a significant amount of specialist resource at King's because of considerable negotiation around founding equity percentages, with a sub-optimal experience for founders and investors. Additionally, our policy is out of step with the sector.

The proposal is for a model **for staff-led spin outs** that improves the incentive for academics to bring forward ventures as entrepreneurs. The model also ensures that those other co-creators of IP (who do not wish to be entrepreneurs) are not penalised by the model and miss out on sharing reasonably in the potential rewards. (*Under the current King's Code of Practice for IP, these individuals are able to benefit from a proportion of the equity share that King's receives, whilst the entrepreneurs (founders) benefit from the bulk of the financial value created. By introducing royalties into the model, the other creators of IP will also now receive a share of this and their contribution be equitably recognised*).

In this paper we present four possible models for consideration (Annex 1) and outline the rationale for our recommendation that the University adopt model 1, 'Active Shareholder'.

The recommendation is that King's:

- maintains its current practice of hybrid deals that incorporate both equity and licence terms
- reduces the University's founding equity from 50% to 20% thereby enabling founders to own more equity
- adopt a low fixed royalty rate (1%) under the licence terms

The proposed change to equity share provides an incentive to founders. It reflects the direction being taken in the UK and internationally (for example see Imperial's approach).

The model will:

- encourage increases in the volume, frequency and efficiency of new venture creation
- be easily understood by founders and investors, and so be implemented efficiently and swiftly, without the need for protracted negotiations

There is no single 'best' equity model as success is very context dependent. As Annex 1 shows, there are trade-offs with each of the models considered, including with the 'Active Shareholder' model we have recommended. However, this model combines the best attributes of models at universities that have performed successfully in the spin-out space over time and is a pragmatic choice.

It should be noted that this policy change will apply to all agreements negotiated from the date that the policy is revised, and the policy will not be applied retrospectively to existing ventures.

Next steps

Following presentation at the Principal's Management Meeting, we would welcome guidance on which committee the proposal should be taken to for approval. Once a final policy position is agreed, we will ensure that this is well communicated across King's, including by visiting each faculty to raise awareness of the policy and encourage future founders to come forwards. We will also liaise with Corporate Communications to ensure that our new approach is shared externally, being brought to the attention of potential investors.

We suggest that we review this change to our Code of Practice for IP, Commercial Exploitation and Financial Benefits 24 months after implementation.

Current status, rationale and guiding principles for model recommendation

In 2022, King's was ranked 1st in London, and 5th in the UK for equity investments secured into spin outs we formed[1]. Additionally, GammaDelta Tx was acquired by Takeda for a sum that may have placed it as the largest acquisition of a university spin out in the last decade. However, despite these successes, an extremely small number of research staff at King's currently use commercial pathways for their research innovation, largely made up of the same people. Increasing this percentage would build a more robust, optimised pipeline for impact via commercial pathways.

Alongside other measures we are putting in place to support King's innovation ecosystem, one key change to allow us to better support ventures and incentivise academics to come forward with ideas is adjusting the 'deal' for academic staff who are seeking to entrepreneurially create new spin outs[2]. Our current model acts as a disincentive and is out of step with the sector. Our policy states that: ***"The College will not… permit any Personnel either alone or jointly to hold more than 50% of the voting share capital of the Spin-Out Company on establishment of the Spin-Out Company".***
At up to 50%, the equity the University takes when a spin out is formed is too high, both from the perspective of the academic innovators but also the venture capital market.

Sector trends

Many "powerhouse" universities are updating the deals that they offer and university percentage shareholdings in spinouts are decreasing.[3] The average equity stake taken by universities in the UK in the year of a company spinning out has declined since 2012, to 20.6% in 2021.[4] This finding is supported by other analysis that shows an average (median) founding equity position of 20%, with around 10% where the University has made less contribution to the spin-out (less IP or investment of support).[5]

Stakes vary (see *Annex 2*), but as an illustration the average (mean) for Oxford in 2021 was 24.3%; for Cambridge 12.6%; Imperial 25.7% and UCL 15.8%. At Oxford, in most cases the University share in year of spinning out is 20% (founders 80%), with 10%/90% in a few instances. At UCL, the University takes a 5% fully diluted share when a

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[1] (Beauhurst) – top equity investment deals 2021

[2] 'Spin outs' are entities created from research, with IP owned by the founders and the university. Start-ups' is used at King's to refer to entities developed not from research, with the IP owned by founders – who are mainly students and alumni. Proposals in this paper do not apply to start-ups, which will continue to be supported by the Entrepreneurship Institute through the King's 20 Accelerator. The Entrepreneurship Institute will continue to support spin-outs through the spin-our accelerator, with a call opening for its third cohort, across all faculties, in January 2024. Cohort one and cohorts two consisted of seven spinouts each.

[3] www.bioindustry.org/resource-listing/usit-guide-2023

[4] Royal Academy of Engineering: Spotlight on spinouts 2022: *https://raeng.org.uk/media/cdvj3jjv/spotlight-on-spinouts-2022-uk-academic-spinout-trends-v2.pdf*

[5] *https://www.ifm.eng.cam.ac.uk/uploads/UCI/knowledgehub/documents/2022_UCI_University_spinout_equity_approaches_report.pdf*

company reaches £1m equity investment, and 10% diluted share if the company requires greater support (in exchange for the IP license and assistance).

Informed sector analysis suggests that '*the pre-investment equity 'landing zone' position for a university who is supporting a spin-out company with a licence of a foundational piece of technology be between 10-25% of the company'.*[6]

A current Government review, announced in March 2023, is *"examin(ing) approaches to intellectual property and equity, assessing the relationship between equity retained by universities and on-going support provided by institutions to companies that are spun-out."*[7] We anticipate that as an outcome of the review, universities will be expected to sign up to a charter on equity and licensing deal terms that reflect the proposals that we have set out in this paper.

Next Steps for King's
King's needs a new, more incentivising deal. We have therefore developed the following guiding principles to deliver a new approach at King's.

1. **Simplicity:** A policy that is simple, consistently applicable to all opportunities and is easily understood by and compelling for our academic entrepreneurs, so we create significantly more new ventures per year.
2. **Incentives**: To increase the prospects of such growth and survival by incentivising (i) our founding academics to play essential roles in this process and (ii) investors to invest in them.
3. **Balance and Sustainability**: A financial return to the University that is fair and reasonable, optimised across and delivering balanced financial rewards to our funders, innovators and to the University, creating innovation sustainability.
4. **Impact**: Such reasonable financial return to be primarily linked to eventual success and impact of the ventures (i.e getting to products and selling these) through royalties linked to the IP Licence and less linked to seeking to maximise financial reward through our founding equity.

Evaluating models
We have analysed (Annex 1) four leading models – those in use at King's or within other leading universities – against the guiding principles above, and against five key parameters (below). These are the key variables in the design of any model for spin outs, which together combine into a 'deal' for investors and founders.

1.	University equity percentage	Fixed or variable within a range.
2.	Equity dilution	Dilutable, or with 'anti-dilution' protection applied.
3.	Royalty	To apply, or not apply, a royalty to licensed products covered by the IP license.
4.	Royalty detail [If royalties are applied]	• The size of the royalty percentage. • Whether the royalty is fixed or varied within a range • Whether royalties are payable from the outset or only once the spin-out achieves a threshold of sales.
5.	Other university costs incurred in enabling the spin-out (e.g. patent costs)	Are these recoverable from the spin out, or not. In practice, all universities are likely to recover the bulk of their out-of-pocket expenditure as the first call on Gross Revenue (followed by distribution to funders and then reward to inventors).

Based on this analysis and sector insights we recommend the adoption of model 1, ('Active Shareholder') outlined in detail below.

The following terms are used in discussing the models under consideration:

1. **Founders**: those individuals who play an executive operational role in leading a New Venture. This group may include **Founder Inventors** and **Third Parties**. Third Parties might be incentivised through (a) salary, (b) Founder shareholding or (c) options.
2. **Third Parties**: anyone who is not an employee or student of the university.
3. **Founder Inventors**: those individuals who are **Founders** and who are also co-creators of any IP assets that might comprise the Licensed IP.
4. **Co-Creators**: those individuals who may have been co-authors of a copyright (eg software) a co-inventor on a patent or a co-creator of another IP right that comprises the Licensed IP or Improvement IP, but who <u>are not</u> Founder Inventors or Founders.

The recommended model: 'Active Shareholder'

The recommendation is that King's maintains its current practice of hybrid deals that incorporate both equity and licence terms but reduces the University founding equity from 50% to 20% and adopts a low fixed royalty rate under the licence terms. Of university comparators, this most closely aligns with Imperial's approach.

Feature	Explanation	Benefits
Fixed Equity at founding	**Take** a **fixed 20%** shareholding, **dilutable** at investment, in new ventures we create.	A fixed, low, dilutable university founding shareholding will be more attractive to founders and investors and yet will secure a reasonable financial return for the University. 20% is consistent with sector trends, within the range likely to be recommended as an outcome of the Government review, and deemed acceptable to investors, founders and funders. Fixing the shareholding will avoid unnecessary negotiation around percentages that, whether larger or smaller, have only relatively minimal effects on the University return. This means a simpler and more effective process to capitalise on King's intellectual property.
IP Improvements	A contractual right written into the IP Licence, for the spin-out to obtain further licences to a certain scope of new IP (severable and non-severable improvements to the originally licensed IP) arising from the continued research of the founders at the University (if applicable) in the 3-years following spin out (an "IP Pipeline"). IP improvement pipelines are a commercially valuable contribution to the venture achieving impact. Such "improvements" licences to follow the same guiding principles as those for royalties.	IP improvement is already common practice and routinely included in any IP licence granted by King's. However, this is not currently written into the King's policy. We will now explicitly state that an "improvements pipeline" is a key intention of our approach to supporting new spin outs. This will incentivise founders and investors. We will extend the improvement period to 3 years, underscoring King's dedication to supporting the success of spin-outs.
Fixed Royalty	**Attach fixed** royalty (**1% Net Sales, 5% sub-licensing proceeds**) under the IP Licence. This will be fixed, (irrespective of tech sector or margin yield) on net sales of licensed products covered by the IP rights (including improvements) granted under the IP Licence, triggered only after a threshold aggregate net sales of £50million, and 5% of all net proceeds from sub-licensing.	This will ensure the University financial returns for the use of its IP are reasonable and yet not capped. It offers financial certainty to investors and founders making the deal structure attractive and likely to assist in expediting new venture creation. This £50m threshold is in line with Imperial's model, released in August 2023. However, we may need to reflect on this threshold for non-health science companies.
Active shareholder	King's will become a more active shareholder, providing tailored support and access to expertise and resource/space availability /enabling time for founders to consult nil fee for the new venture (this to be capped at 1 day a week for 12-months).	This will increase the likelihood of the spin out becoming successful and achieving impact. We will develop a standard template to act as a service level agreement. For each spin out this will set out the support available and costs, including rents, access to buildings, access to and use of specialist facilities and staff support.
Reward to Inventors	Clearly set out how creators (founders and non-founders) of IP are set to share in the financial returns achieved by the University from proceeds arising from its equity or its licence terms.	This will continue our existing reward to inventor scheme that distributes royalty income to inventors. It will ensure all IP creators understand that even where the University seeks a financial return from a new spin out, significant sums of that return actually flow back to inventors.
Gainshare Policy	To set out how faculties/ academic departments will obtain a share of the University net income (from both share proceeds and royalty income). The Gainshare policy currently addresses only share proceeds and does not address how net income from royalties would share back into faculties and academic departments: we propose both are managed in the same way.	Under the recently revised Gainshare Policy (UE-22-17.3, 6 October 2022) up to the first £3million in value, the University will split 50% of the proceeds from shares with faculties. Faculties share this onwards with schools and departments. We propose that this should be revised further, with returns to faculties are capped at £5million. The policy should be expanded to apply to the proceeds from royalties as well as shares. This will make it clear to faculties and departments that such commercial proceeds that we do secure from equity <u>and</u> IP licences from spin outs flow back in large part to the academic base.

Royalties

Views within the sector on royalties differ. These differences were expressed within the working group: one member's view was that any level of royalties, however low, acts as a barrier to investors. Having considered all views carefully, analysed sector best practice and consulted other universities (e.g. Cambridge) the recommendation is that King's adopts a low, fixed royalty rate for the following reasons.

1. **A fixed, rather than a variable royalty rate ensures simplicity and clarity to founders and investors on the deal structure.** Imperial has adopted three rates of equity based on the margin-earning potential of the licensee. We do not recommend this as we consider that it will lead to unhelpful debate and protracted negotiation with founders which will not warrant any (likely small) financial advantage. A simple approach will encourage new ventures to come forward. Therefore, we have recommended a single, low rate to cover all contingencies.

2. **A low rate ensures that financial returns to the University for the use of its IP are not capped. It also ensures that these returns are reasonable (rather than maximised) and justifiable**. The royalty is only triggered once a venture reaches aggregate net sales of £50m (we may need to review this for non-health science companies), so means that ventures establish themselves and become successful before any royalties are payable (for many this could be 10 years or more). Founders will benefit from royalties upon successful sale, alongside how they currently benefit from share proceeds.

3. **Royalties will keep open a small stream of future returns from University-supported spin-outs that will contribute to us growing and sustaining the entrepreneurial ecosystem at King's**. This will support investment in Innovation@King's to foster the further growth of commercially valuable ideas in partnership with founders and investors, sharing these returns with faculties.

4. **Royalties benefit those creators of the IP who choose for good reasons not to be founders (for example, early-career researchers).** Again, this will encourage new ideas to come forward and enhance the King's venture pipeline.

Where King's has previously negotiated royalties (e.g. GammaDelta Tx), these have varied between 1-3%. Our recommendation (1%) is therefore in line with King's previous practices, whilst keeping rates low, reasonable and justifiable. In our view, a rate lower than 1% (e.g. 0.5%) would be a very generous concession. 1% is also in line with the mid-point of the three fixed royalty tiers introduced by Imperial (0.5%/1%/2%).

Founder considerations

The revised policy will make it clear to founders that there are potential income tax or capital gains tax implications for them, and that King's will apply the tax rules relating to the benefit. If a founder takes value in income rather than shares, King's must tax this as income and apply appropriate National Insurance charges. If the founder takes shares, they may be creating a future capital gains tax liability for themselves, though there are also potential tax incentives to encourage such developments. The onus will be on the founder to resolve any personal tax issues.

Academic promotions framework

As an outcome of the Government review of IP and equity at universities, we anticipate signing a charter which will include the commitment that innovation becomes part of the academic promotion framework. We recommend that King's begins steps to incorporate this into our promotion pathways, as a means of incentivising and encouraging innovation amongst our academic community.

Tracking impact

In the University's accounting, income from commercialisation, once any costs for IP & Licensing activity are deducted, is passed on to faculties and forms part of their annual 'contribution targets'. A small amount of income may remain within the RMID accounts each year as the result of historic deals that resulted in ongoing 'Tech Transfer Fees'. We will ask Management Accounts for an annual statement of commercialisation income to assess the impact of this policy change over time.

ANNEX 1: OPTIONS ANALYSIS AND SECTOR MODELS		Model 1' Active Shareholder' (Fixed, Low Equity, Plus Royalties)	Model 2 (e.g HVS Ltd, founded by Seb Ourselin) (Fixed, Low Equity, No Royalties)	Model 3 (e.g. Neuronostics Ltd, founded by Mark Richardson) (Variable, Low Equity, No Royalties)	Model 4 (e.g GammaDelta Tx, co-founded by Adrian Hayday) (Variable, Variable Equity, Plus Royalties)
Model variables	University equity percentage	Fixed	Fixed	Variable	Variable
		Low (20%)	Low (20-25%)	Low (20-25%)	Variable (>25%)
	Equity dilution	Yes			
	Royalty applied	Yes	No	No	Yes
	Royalty detail	Fixed	N/A	N/A	Variable
		Low (1% Net Sales, 5% sub-licensing proceeds). Triggered only after a threshold aggregate net sales of £50m			Variable *(where King's has implemented this model, royalties range from 1-3%, varying depending on negotiated provisions such as developmental and commercial milestone payments)*
Consistency with guiding principles *(blue = consistent with principles, red = inconsistent with principles)*	Simplicity	Improved transaction simplicity and speed compared to all other models. Avoids unnecessary negotiation around percentages that have only relatively minimal effect on the University return.	Creates complex contractual arrangements to cater for new IP or new inventors/funders needing remuneration.	Less simple transaction but can be argued as allowing flexibility and tailoring to deal circumstances.	Less simple transaction. Requires clear parameters for deciding the equity %.
	Incentives	VCs: attractive as downstream financial obligations fixed and low. Likely to have no Board role/ info rights.	VCs: attractive as no downstream returns need to be paid and university equity not protected. Likely to have no influence / Board role / info rights.	VCs: attractive depending on the upper range for equity stake. Higher percentage stake may secure some Board role/ info rights.	VCs: attractive as enables deal tailoring and allows equity to enable offset of fee rate in IP Licence terms.
		Founders: attractive, as equity low and offers financial certainty.	Founders: preferable to model 1 as maximises their founding stake and no downstream financial returns are needed to be paid and university equity not protected.	Founders: preferable to model 1 as maximises their founding stake and no downstream £ returns are needed to be paid and university equity not protected.	Founders: less attractive as overall "price" is higher.

		Funders: potentially not acceptable structure to research funders who generally expect maximising financial returns.	Funders: likely not acceptable as does not maximise financial returns.	Funders:	Funders: likely to be palatable as it maximises financial returns.
	Balance and sustainability	No cap on financial return to University. We anticipate this delivering high returns due to increase in volume of transactions.	Caps the financial return to the University significantly as no royalty. This therefore caps the financial return to other creators of the IP who elect not to be founders. Might not be appropriate for the circumstances that led to IP creation or value of the IP.	Caps the financial return to the University significantly as no royalty. This therefore caps the financial return to other creators of the IP who elect not to be founders.	No cap on financial return to University. But financial return advantage does not warrant the extra cost and time delays likely in negotiating final deal equity % which is likely to lead to disagreement and delay in agreeing final %. Great deals done but process and policy has constrained potential volume.
	Impact	Bulk of financial return only when there is true impact, but fair not maximised.			Bulk of financial return only when there is true impact
Sector position	Government	Consistent with likely government position. Consistent with position already declared by global big hitters.			Consistent with likely government position. Consistent with position already declared by global big hitters.
	HE	Imperial College London			Oxford, Cambridge, UCL

LEADING UNIVERSITY MODELS

	Imperial ('Founders Choice Model')[8]	UCL[9]	Oxford[10,13]	Cambridge[14]

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[8] 1st August 2023: Imperial announces improved Founders Choice programme for spinout companies | Imperial News | Imperial College London

[9] https://www.uclb.com/our-services/commercialise-your-research/non-patentable-ip/

[10] https://researchsupport.admin.ox.ac.uk/innovation/intellectual-property

[13] Oxford University has a unique partnership model with Oxford Science Enterprises (OSE), founded in 2015. It has a non-dilutable 5% stake in OSE and OSE receive an automatic 10% zero-cost stake in science spinouts. The university retains the other 10%. OSE is a business-building organisation but also acts like a VC.

[14] Cambridge advocates in the most overt way a model that incudes royalty (this is where they think the value lies) + equity and they use adjustments to both of these during the negotiations with founders and investors to find an appropriate balance that best works for all parties. Cambridge is adamant that taking royalties and equity together is essential to helping to de-risk (in economic benefit terms) the arrangement for the university as taking equity only (especially where the university is not following its equity and making cash investments) has an obvious and notable capping effect on potential financial returns. Equally, the Cambridge view is that taking royalties only and no equity

	Pharmaceuticals		Software devices, physical sciences, other		Software & know-how products	All other IP	Case by case	Case by case
	Option 1	Option 2	Option 1	Option 2				
University equity percentage	Fixed	Fixed	Fixed	Fixed	Fixed	Variable, case by case	Variable	Variable
	5%	20%	5%	10%	5%	1-30% (average 17%)	~10-20%	~9-20% (average 10%, higher in Life Sciences)
Equity dilution	No, until reach £20m investment	Yes	No, until reach £5m investment	Yes	No & license for the IP	Yes	Yes	
Royalty applied	Yes, but only due on aggregate net sales > £50m (of products & services based on IP licensed to the spin-out company)					Yes		Yes
Royalty detail	Fixed					Variable, case by case		
	• Low / medium / high margin businesses: 0.5% / 1.0% / 2.0 % respectively. • Sub-licensing royalties will be fixed at 10% of all net proceeds.							

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throws up questions where ventures present opportunities for shareholders to successfully exit but where the venture may not have reached the market (and may never do) with a product and sales revenue in which royalty might be due do not materialise.

ANNEX 2: FAQs REGARDING RECOMMENDATION OF MODEL 1 ('ACTIVE SHAREHOLDER')

Take a **fixed 20%** shareholding, dilutable at investment, in new ventures we create.	
Why "take" at all?	1. There is market preference for universities to be seen to have an equity stake. 2. Such equity may return a value (to recognise the contributions the University has shared in developing the venture). In the majority of cases the University's founding share proceed will be relatively small because, by the time it can exit, the University shareholding will likely have been diluted down to low single, or sub-single digit percentage (i.e. share proceeds even in the best cases are a relatively small share of the lifetime financial value created). The real financial returns are from net sales from products actually sold via royalties or sub-licensing income.
Why "Fixed"?	To avoid protracted negotiation over small % adjustments to a founding equity position which in Net Present Value terms has marginal financial benefit when those shares ultimately realise a proceed. Negotiating a % (even within a "landing zone") will be costly (in time and money). Relatively high university founding shareholdings eventually dilute down to low or sub-single digit percentages by the time a share exit opportunity arises – therefore there is little rationale for a lengthy negotiation.
Why 20%?	As the policy position is not to maximise financial return, the lower equity percent enables a reasonable return and avoids delaying or damaging debate over percentages: in reality such debate has only minor effect for the University on the financial return. It is sensible to settle on the highest % acceptable to VC and founders. We consider 20% to be a sum empirically determined acceptable to investors, founders, funders and government.
Why dilutable?	The alternative (a non-dilutable founding shareholding) will likely create delay and debate as founders and investors contest the choice of the non-dilute threshold. It also creates a "preference" on the University shares which will place the University apart from the ordinary shares of founders and perhaps other early investors who do not have the benefit of such anti-dilution protection.
Attach fixed royalty (**1% Net Sales, 5% sub-licensing proceeds**) under the IP Licence.	
Why "attach"?	to recognise the University's role and IP in the venture's success.
Why "fixed"?	1. To ensure simplicity and clarity to founders and investors, on the deal structure. 2. To ensure efficiency in the contracting process.
Why "1%" and "5%"?	1. Because the University is not looking to "maximise" the financial returns and instead is seeking only to secure a reasonable return 2. Ensures that although reasonable, the financial returns are not capped. 3. A low % will ensure the % works in all sectors (medtech, biotech, pharma).
Why triggered only after aggregate net sales met?	This is a simple cash-preserving term for the spin out which enables them to retain more revenue as they find their feet and secure market share.
Confirm to the new venture a right to **obtain** further licences to a **certain scope** of new IP arising from the research of the University in the **3-year** period following spin out (an "IP Pipeline"), such licences to follow the same guiding principles set out above.	
Why "confirm" this right?	Although such pipeline makes the venture more attractive to investors and entrepreneurs it is not yet expressly stated anywhere in policy that it forms part of the model.
Why "obtain"?	The new policy position aims to maintain simplicity and not seek to maximise financial return. Capturing the IP improvements under the terms of the IP licence adds to the prospects of securing a reasonable financial return without risking reopening debate and disagreement about licence terms.
Why qualify with "certain scope"?	To ensure that no research individual or their funder is inadvertently or unknowingly caught by the IP Pipeline.
Why 3-years?	So that the University does not create an open-ended obligation to provide new IP to the venture. Three years best reflects project grant activity and so is a justifiable, sensible length of time, also reflecting King's commitment to supporting ventures.
Clearly set out **how creators (founders and non-founders) of IP are set to share in the financial returns** achieved by the University from proceeds arising from its equity or its licence terms.	
How are creators benefited?	Net Income is shared back with creators of IP as defined in the Code of Practice for IP, Commercialisation and Financial benefits.
Clearly set out how **Faculty, Academic Departments / Schools will obtain a share of the University net Income** (from both share proceeds and royalty income) under the Gainshare Policy.	
Is there a Gainshare Policy?	A Gainshare Policy was approved by the University in FY 22/23 (*paper UE-22-17.3, 6 October 2022*). The first £3 million of Net Income realised from a share proceed is shared 50/50 with the relevant **Faculty(s)**. The Faculty then shares this sum 50/50 with the relevant **Academic Unit** (Department / School). The relevant **Academic Unit** then shares this sum 50/50 with the **Creator Laboratory.**

Research Ethics Policy

Policy Category:	General
Subject:	Policy on the Ethical Conduct of Research Involving Human Participants
Approving Authority:	Academic Board
Responsible Officer:	Senior Vice-President (Operations)
Responsible Office:	Research Governance, Ethics and Integrity and College Research Ethics Committee
Related Procedures:	TBC
Related College Policies:	TBC
Effective Date:	xx/xx/2023
Supersedes:	New
Next Review:	xx/xx/2026

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1. **Purpose & Scope**

1.1   Research Ethics is a globally recognised set of principles governing the way research involving human participants, their tissue or data, is designed, managed and conducted in order to safeguard the dignity, rights, health, safety, and privacy of those involved.

1.2   King's College London is committed to ensuring its researchers adhere to high ethical standards to protect both participants and researchers and to ensure the conduct of research is of the highest level of excellence and integrity. Ethical research is honest, rigorous, transparent, respectful and protects participants.

1.3   In order for research to result in benefit and minimise risk of harm, it must be conducted ethically. KCL's review processes are intended to ensure this whilst remaining sensitive to the needs of researchers.

1.4   The University is committed to providing a competent, rigorous and robust process of ethics review that is proportionate to the potential risk and, where a high risk is identified, assesses that risk against the benefits to the public good. The research ethics process requires researchers to consider and manage ethical issues such as the management of risk, protection of confidentiality and the process of informed consent, in order to ensure the dignity, rights, safety and wellbeing of participants are central to any research study. Research should be initiated and continued only if the anticipated benefits justify the risks involved.

1.5   Where research involves human participants or their data, research funders will generally only fund research that has ethical clearance, and many publishers will not accept results of such research for publication if it has not been granted ethical clearance. As such, researchers may need to present evidence of ethical clearance in order to publish their results to the wider research community.

1.6   This policy should be read in conjunction with the UK Research Integrity Office (UKRIO) Code of Practice for Research and reflects the principles and commitments outlined in the funder-endorsed Concordat to Support Research Integrity.

1.7   The purpose of this policy is to:

(i)   Set out the principles, responsibilities and requirements for all research involving human subjects conducted under the auspices of King's College London staff, students or affiliates.
(ii)   Provide KCL staff, students and affiliates with a clear understanding of the ethical review process operated by King's College London; and
(iii)   Support a culture of academic freedom and excellence by providing a framework for review which subjects research proposals to a level of scrutiny that is in proportion to the risk of harm or adverse effect to participants, researchers, the University and to society as a whole.

1.8   The policy applies to all KCL staff, students and affiliates conducting KCL sponsored research activities involving human subjects (including those with visiting or honorary contracts and students on placements), whether or not the research is conducted on the University's premises or using the University's facilities.

1.9   Third parties (for example staff of other institutions working with King's College London students or on University premises) are expected to adhere to the University's ethical standards of research.

2.   **Principles of Ethical Research**

The following ethical principles apply to all research which involves human participants:

2.1   **Research should aim to maximise benefits for individuals and society and minimise risk and harm**: Researchers should ensure that the potential risks to participants involved in their research have been identified and effectively mitigated or, where appropriate, removed entirely. Researchers should also make sure that the study has been designed so as to maximise any potential benefits to both individual participants and society more widely and take care to communicate all personal risks and benefits clearly and honestly to potential participants.

2.2   **Research must always respect the rights, interests, values, dignity, and autonomy of involved persons, groups, and communities**: Primarily, this principle implies that researchers should obtain the fully informed consent of all participants in their research. Informed consent is agreement given fully voluntarily (i.e. free from any potential coercion or perceived coercion, including undue incentives), in light of full information regarding the study's purpose, likely impact, and what will be asked of participants. Additional support and, where appropriate, protections should be provided to participants who may struggle to fully comprehend the study, or to otherwise freely exercise their rights within it.

2.3   **Participants should be free to withdraw from the research after providing their consent:** Researchers must allow and enable participants to withdraw at any stage of the research process for any or no reason. It must be as easy as possible for participants to do this, without any impediment, and without causing them any detriment. Wherever possible (i.e. wherever data is collected identifiably), this principle includes giving participants the ability to withdraw their data from the study within a reasonable timeframe after it has been collected.

2.4   **All participants must be selected and treated fairly in all aspects of their research involvement**: Researchers must ensure that their selection of target participant groups is guided by scientific need and the appropriate distribution of burdens, rather than perceived ease of recruitment. Individuals should neither be unreasonably excluded from the possibility of freely participating in research, nor should unnecessary additional burdens be placed on already significantly burdened groups or individuals, and never on individuals whose ability to bear the additional burdens of the research is in doubt.

3.   **Informed Consent**

3.1   Informed consent is one of the founding principles of research ethics. Its intent is that human participants can enter research freely (voluntarily) with full information about what it means for them to take part, and give consent before they enter the research.

3.2   Consent should be obtained before the participant enters the research (prospectively), and there must be no undue influence on participants to consent. The minimum requirements for consent to be informed are that the participant understands what the research is and what they are consenting to.

3.3   The process of informed consent must ensure that research participants are provided with all the relevant information they need in order to decide if they would like to participate in a study. It is therefore important that information given to participants, before obtaining their informed consent to take part, is clear and concise and fully explains all aspects of the research.

3.4   For the most part, potential participants must be provided with an information sheet and given the opportunity to ask any questions about the study. They can then give informed consent by completing a consent form based on this information sheet which is then returned to the researcher as evidence of informed consent.

3.5   The Research Ethics Office provides General Data Protection Regulation (GDPR) compliant templates which are in line with the highest standard of informed consent set by GDPR. However, there will often be cases in which researchers may feel that it is more appropriate to simplify the information provided to participants in a proportionate way depending on the target demographic and the nature of the research. In such cases, researchers must justify, in their ethics application, why a simplified version of the information sheet is more appropriate and how informed consent will still be ensured.

3.6   It is recognised that there are instances when it may be more appropriate to provide a verbal or brief email overview to potential participants instead of a written information sheet. Such instances include, but are not limited to, interviewing elite professionals, instances where it is not culturally appropriate or when participants are approached in a busy environment (i.e., on a busy street) and it is impractical to expect participants to read a written document. Researchers wishing to employ a verbal consent mechanism are required to provide a strong justification, in their ethics application, why written consent is not appropriate.

4.   University Requirements for Ethical Clearance

4.1   **Research activity requiring ethical clearance**

4.1.1   The College stipulates that all research involving human participants and/or their tissue or data (where the data is identifiable and not in the public domain) requires ethical clearance prior to the commencement of data collection. This is to ensure that the rights, dignity and well-being of those involved are protected.

4.1.2   Whilst there is no universally agreed definition of 'research', it is generally accepted that research is undertaken to attempt to derive generalisable new knowledge by addressing clearly defined questions with systematic and rigorous methods. This process of systematic inquiry entails collection of data; documentation of critical information; and analysis and interpretation of that data/information, in accordance with suitable methodologies set by specific professional fields and academic disciplines.

4.1.3   Human participation in research should be taken in the broadest sense possible, incorporating all forms of primary data collection from humans (i.e., interviews, questionnaires, focus groups, observations, taking/using materials from humans, invasive/intrusive procedures, administering substances/products, physical activities, or collecting data from humans in any form) where the data being collected is primarily to be used as research data.

4.1.4   Projects involving the analysis of previously collected data (including human tissue) and/or the collection of existing data that has not previously been used for research purposes before (such as data taken from private social media groups) will require ethical clearance if the data being accessed is identifiable and not available in the public domain. The use of fully anonymous existing datasets and data that are freely available in the public domain does not require ethical clearance.

4.1.5   Where a project does not involve human participants or human subject data, it is usually the case that ethical clearance from the KCL College Research Ethics Committee (CREC) will not be required. However, there may be exceptional cases where a research study does not strictly involve human participation (for example, excavating a burial ground, site-specific environmental monitoring) but does raise associated ethical issues with respect to the potential social and/or environmental implications of the research activities, and how these may impact on humans. In such cases ethical clearance would be required should there be clearly identifiable potential for the research activity to cause an impact/change with respect to particular individuals or communities.

4.1.6   The remit of CREC is to provide ethical review for research only. It is the responsibility of the researcher (and their supervisor where appropriate) to determine if their work is research or if it is a non-research project. If the work is deemed not to be research, then ethical clearance is not required from KCL.

4.1.7   The above requirements for KCL ethical clearance apply to all research activity conducted by KCL staff, students or affiliates for KCL sponsored projects. This includes KCL projects taking place overseas that may have been through local ethical review, or projects that involve collaboration with other institutions who may have their own processes.

4.2   **Sponsor responsibilities for obtaining ethical clearance**

4.2.1   Ethical clearance must be obtained through KCL where it has been determined that KCL is the lead sponsor for the research project. KCL will normally act as research sponsor for projects where the Chief Investigator or Lead Investigator is employed by the University, the University takes prime responsibility for managing the research and associated funding, and/or the project is forming part of a KCL educational qualification (KCL student research).

4.2.2   Where external staff or organisations are involved in the development or management of a research project, it may be more appropriate for another organisation to act as sponsor, or to enter into a co-sponsorship arrangement.

4.2.3   Where it has been determined that another UK organisation is the lead sponsor for a research project and will therefore be obtaining ethical clearance for the project, additional ethical clearance from KCL is not required, provided any involvement of KCL researchers in human subject data

collection is included in the ethical clearance obtained by the sponsoring organisation. However, in some cases funders may insist that ethical clearance is obtained locally from each collaborating organisation.

4.2.4   Sponsorship arrangements should be established between institutions prior to the submission of an ethics application.

4.2.5   If KCL is not the lead sponsor of a research project, but the lead organisation does not have a recognised procedure for obtaining ethical clearance, KCL researchers involved in the project may request an 'ethical opinion' from CREC. If granted, an ethical opinion will be given with the proviso that KCL are not the sponsoring institution and therefore cannot provide insurance and indemnity for the research project. In such cases, researchers should contact the KCL Insurance team to establish if KCL's general insurance policies cover their personal involvement in the project.

4.3   **Ethical review of KCL led projects conducted overseas**

4.3.1   KCL sponsored research carried out overseas must uphold the University's ethical standards while also being cognisant of the local civil, legal, financial and cultural conditions. Any research that would require ethical review when carried out in the UK should similarly be subject to appropriate ethical review when carried out overseas.

4.3.2   Research projects which are conducted in a country outside of the UK must be reviewed according to UK standards to ensure that our researchers are abiding by the principles and legislation governing UK research. Therefore, KCL sponsored studies will require review by CREC even if ethical clearance has been received in the host country. This is to ensure that KCL research overseas is conducted to a consistently high ethical standard as ensured through the well-established KCL process, and in acknowledgement of the fact that the standard of ethical review processes in countries outside of the UK varies greatly.

4.3.3   Many countries require local ethical approval or registration of research projects, and some require specific research visas. Researchers are expected to refer to international guidelines and conform to relevant local regulations for the country or countries where the research is taking place.

4.3.4   It is the researcher's responsibility to find out what the local overseas requirements are, including any data protection requirements, and include this information in the ethics application when you submit to CREC. All regulatory procedures of the host country must be complied with, including any requirements for research ethics clearance. If researchers do not abide by the local rules of the host country, this will invalidate the ethical approval from KCL, may be subject to investigation for research misconduct and may run the risk of legal action within the host country.

4.4   **Non KCL led overseas studies involving KCL researchers**

4.4.1   Where KCL researchers are involved in a study that is sponsored and led by an overseas Higher Education Institute (HEI) (i.e. the Lead Investigator belongs to an overseas HEI), ethical clearance can typically be obtained by the overseas sponsoring institution, providing the standard of the institution's ethics review process is equivalent to that of KCL's.

4.4.2   Researchers should consult with the KCL Research Ethics Office to establish if the overseas ethical clearance meets the required standard. If it is determined that this is not the case, additional ethical clearance will need to be obtained from KCL prior to commencement of data collection.

4.5   **Service Evaluation/Audit**

4.5.1   Service Evaluation is undertaken to benefit those who use a particular service and is designed and conducted solely to define or judge current service. Participants will normally be those who use the service or deliver it. It involves an intervention where there is no change to the standard service being delivered (i.e. no randomisation of service users into different groups). This type of project does not require ethical approval, but may require local approvals from participating organisations (i.e. NHS Trusts, schools etc) It is the responsibility of the researcher to ensure any required permissions are in place.

4.5.2   It is possible to use data collected from participants during a service evaluation for later research as long as:

(i)   The data is completely anonymous.
(ii)   It is not possible to identify participants from any resulting report.
(iii)   Use of the data will not cause damage and/or distress.

4.5.3   Audit is defined as an assessment of the level of service being provided against a set of predetermined standards. This generally involves the analysis of existing data and the results of this analysis usually being used/distributed locally in order to effect change to improve/change the level of service currently being provided. This type of project does not require ethical approval, but may require local approvals from participating organisations (i.e. NHS Trusts, schools etc) It is the responsibility of the researcher to ensure any required permissions are in place.

4.6   **Research Involving Animals**

4.6.1   CREC is responsible for the ethical review of projects involving human participants and their data only. Research involving animals is not under the remit of CREC. The ethical requirements and review of projects involving animals is the responsibility of the KCL Animal Welfare & Ethical Review Board (AWERB).

4.7   **Taught Course Practical's**

4.7.1   Where human participant data is being collected for a taught course practical* as part of a learning module, ethical clearance is only required if the activity falls into the 'high risk' criteria.

4.7.2   For taught course practical's that do not require high risk ethics review, module leaders should complete a Taught Course Practical Checklist and upload a signed copy within the OPAMA (Online Programme and Module Approval) system when submitting for module approval.

4.7.3   Where students are conducting individual research projects in which the activity does not fall within the learning aims and objectives of the course but is instead a stand-alone research project for which each student has their own specific aims and objectives, then an individual ethics application must be made for CREC ethical clearance, regardless of the risk level of the project.

A taught course practical is classified as an activity involving human participants which falls within the learning aims and objectives of the course, which has the principal goal of practising research methods.

4.8   **Research which has already received ethical approval by a Research Ethics Committee (REC) at another organisation**

4.8.1   If an ongoing non-KCL sponsored study has received ethical approval from a different Institution and the study is being transferred to KCL due to personnel change or departure, the study must be submitted through the University's Transfer of Sponsorship process within the Research Ethics

Management Application System (REMAS) in order for KCL to accept lead sponsorship of the study and for indemnity to be confirmed. However, if recruitment and data collection has already been completed under an existing ethical approval before the project transfers to King's, no further action is required regarding ethical clearance. If applicable the researcher should discuss the transfer of associated funding with the KCL Pre-Award team.

4.8.2   As part of the Transfer of Sponsorship process, the Principal Investigator (PI) will be asked to provide an outline of the study as well as details of the original ethical approval and associated recruitment documents.

4.8.3   KCL will, where possible, accept the approval provided by the original Institution, however the University reserves the right to request further ethical review if there is any concern around the standard of the existing approval, or if any changes have been made to the previously approved protocol that require ethical review.

4.8.4   Recruitment and/or data collection must not take place until KCL sponsorship has been confirmed by the Research Governance Office.

4.9   **Health and Social Care Research requiring external clearances under the Health Research Authority (HRA)**

4.9.1   In the UK, there are a number of regulators with a remit for activities related to health and social care research (the HRA) or to health research only (the Human Fertilisation and Embryology Authority, the Human Tissue Authority and the Medicines and Healthcare products Regulatory Agency. Applications to all key approval bodies are made through a single UK-wide Integrated Research Application System provided by the HRA. The HRA also oversees the NHS and Social Care Research Ethics Committees.

4.9.2   Although not an exhaustive list, ethical review will typically be required through a Research Ethics Committee acting on behalf of the HRA in the following circumstances:

(i)   National Health Service Research Ethics Committee (NHS REC) review will be required for any research that involves recruitment of participants who are identified from or because of their past or present use of NHS services, research involving adults lacking capacity, invasive research involving prisoners, a Clinical Trial of an Investigational Medicinal Product or where the research falls under legal requirements for NHS REC review. Legal requirements include the Human Tissue Act 2004, Mental Capacity Act 2005 and the Ionising Radiation (Medical Exposure) Regulations 2017.

(ii)   Social Care Research Ethics Committee (SC REC) review will be required for research projects involving Social Care service users or social care projects funded by the Department of Health involving adult social care service users.

4.9.3   Study-wide management review by the HRA (called HRA or NHS approval) is generally required for any research utilising substantive NHS staff, NHS facilities or NHS premises as research sites. HRA approval is separate from ethical approval, therefore studies requiring HRA approval will need to additionally obtain ethical approval as required (for example from an NHS REC, SC REC or via REMAS.)

4.9.4   The Governance Arrangements for Research Ethics Committees(GAfREC), the HRA ethics decision tool and the HRA decision tool outline in more detail the types of research that will require approval under the Health Research Authority and/or the NHS REC or SC REC.

4.9.5   If a project has been ethically approved by the NHS Research Ethics Committee or Social Care Research Ethics Committee, additional ethical clearance from KCL is not required.

4.9.6   Some studies will fall outside of the review requirements of the UK Department of Health's Research Ethics Service, but instead require KCL research ethics clearance, but will also require HRA

approval. In such instances the researcher will be required to submit and ethics application to KCL through REMAS and also an Integrated Research Application System (IRAS) application to the HRA.

4.9.7   Researchers should consult the 'What approvals and decisions do I need' page on the HRA website for more information.

4.10   Research requiring external ethical review from the Ministry of Defence Research Ethics Committee (MoDREC) or the HM Prison & Probation Service (HMPPS)

4.10.1   Ministry of Defence Research Ethics Committee (MoDREC) Review:

4.10.1 i) MoDREC ethical review will be required for Research that is funded or sponsored by the Ministry of Defence and some types of research that involves MoD staff.

4.10.1 ii) Prior to final review by MODREC, scientific and technical rigour must be obtained through assessment by a Scientific Advisory Committee (SAC)

4.10.1 iii) Researchers should consult the 'Ministry of Defence Research Ethics Committee' page on the gov.uk website for more information on both SAC and MoDREC review.

4.10.2   **HM Prison & Probation Service (HMPPS) Review:**

4.10.2 i) All researchers wanting to conduct research with staff and/or offenders in prison establishments, the Probation Service regions or within HM Prison and Probation Service (HMPPS) Headquarters are required to formally apply for research approval to the HMPPS National Research Committee (NRC).

4.10. 2 ii) Researchers should consult the 'HM Prison & Probation Services' webpage on the gov.uk website for more information.

4.11   Research Conducted without ethical clearance

4.11.1   Obtaining ethical clearance prior to the commencement of a research study involving human participants and/or their data is a mandatory requirement of King's College London.

4.11.2   Failure to obtain ethical clearance prior to commencement of a study could put the research participants at risk of harm. It is expected therefore that all studies that require ethical clearance have that clearance in place before the research begins.

4.11.3   To begin recruitment or data collection for a research project requiring research ethics clearance without having first obtained the appropriate ethical clearance will be considered a breach of ethics and, depending on the circumstances, research misconduct. Such breaches will typically be dealt with under the Colleges 'Policy and Procedure for Research Conducted Without the Appropriate Ethical Clearance' and will likely result in the requirement to destroy all relevant raw data, with restrictions being placed on a researcher's ability to publish their research findings.

5   Roles and Responsibilities

5.1   College Research Ethics Committee (CREC)

5.1.1   CREC is the over-arching committee responsible for advising on and informing the development of the College's research ethics policy, procedures, and application system.

5.1.2   CREC develops, establishes, and reviews the procedures for the examination of proposals for research which involves human participants and materials derived from human participants, which

are to be carried out by KCL staff, students and affiliates, except where the proposal for such research has been or will be examined by a research ethics committee acting on behalf of the UK Health Research Authority.

5.1.3   The review of studies that fall under the remit of CREC are undertaken by either a Research Ethics Subcommittee (RESC) for high-risk projects, or the Research Ethics Office and a Research Ethics Panel (REP) for low-risk projects, in line with CRECs proportionate review process.

5.1.4   CREC manages its membership and operates in line with its [Terms of Reference](#)

5.2   **Research Ethics Subcommittees (RESCs)**

5.2.1   Three RESCs operate under authority delegated to them by the CREC and are accountable to that Committee.

5.2.2   The RESCs are responsible for ensuring that research involving human participants that has been determined to be 'high risk' is carried out safely and with considered consent and respect for the autonomy and privacy of the research participants, and in accordance with the ethical principles set out in the Declaration of Helsinki and other relevant guidelines.

5.2.3   In addition to ethical review, the RESCs, in conjunction with the Research Governance Office, will ensure that relevant legal requirements, such as compliance with data protection legislation and University protocols on records management, are complied with.

5.2.4   Health RESCs are responsible for reviewing high risk applications from the following Faculties/Institutes:

(i)   Faculty of Life Sciences & Medicine
(ii)   Institute of Psychiatry, Psychology & Neuroscience
(iii) Faculty of Natural, Mathematical & Engineering Sciences
(iv)   Faculty of Dentistry, Oral & Craniofacial Sciences
(v)   Florence Nightingale Faculty of Nursing, Midwifery and Palliative Care.

5.2.5   The Social Science, Humanities and Law Research Ethics Sub-Committee (SSHL RESC), is responsible for reviewing high risk applications from the following Faculties/Schools:

(i)   Faculty of Social Science & Public Policy
(ii)   The Dickson Poon School of Law
(iii)   Faculty of Arts & Humanities
(iv)   King's Business School
(v)   King's Academy
(vi)   Global Institutes
(vii)   Central Departments

5.2.6   The RESCs manage their membership and operations in line with their Terms of References (ToRs).

5.3   **Research Ethics Panels (REPs)**

5.3.1   Discipline specific REPS operate under authority delegated to them by CREC and are accountable to that Committee. The Panels are as follows:

(i)   Biomedical Sciences, Medicine, Dentistry and Natural & Mathematical Sciences REP
(ii)   Psychiatry, Nursing & Midwifery REP
(iii)   Education and Business REP
(iv)   Arts and Humanities REP
(v)   Security Studies REP
(vi)   Law, Politics & Economics REP

(vii)   Geography, Global Institutes & the Policy Institute REP

5.3.2   REP members are responsible for ratifying the reviews of low-risk staff and PhD/MPhil student applications following an initial review carried out by the Research Ethics Office (REO), offering amendments or changes in light of their disciplinary expertise. Activity is conducted virtually within REMAS.

5.3.3   REP members also help to improve engagement with ethics within departments by:

(i)   promoting awareness and understanding of the ethical approval process among colleagues when appropriate, and

(ii)   supporting the REO with the development of discipline specific ethics training and guidance.

5.4   **Research Ethics Office (REO)**

5.4.1   It is the responsibility of this central research ethics team to set policies and standards in the area of research ethics and to support Faculties/Schools with the delivery of those standards via training and guidance, and through the development and maintenance of the online system REMAS.

5.4.2   The REO is also responsible for providing administrative support to the CREC and its supporting RESCs and REPs, including maintaining membership in line with the relevant ToRs.

5.5   **Research Governance Office**

5.5.1   The Research Governance Office (RGO) provides support for KCL sponsored research submitted through the REMAS system and/or the IRAS system for HRA/NHS/Social Care REC approvals, on matters pertaining to local and national policy or associated legislation.

5.5.2   The RGO provides this support via ad hoc advice, training, issuing guidance and process implementation.

5.5.3   The RGO performs parallel reviews with the Research Ethics Office on research applications submitted through REMAS and will provide project specific expert research governance advice, typically in relation to the following:

(i)   Data protection requirements under the UK General Data Protection Regulation and the Data Protection Act 2018.
(ii)   Requirements relating to the storage and collection of tissue under the Human Tissue Act/Human Tissue Authority.
(iii)   Regulatory approval routes
(iv)   Research Sponsorship
(v)   Issues of Research Insurance
(vi)   Risk Assessments
(vii)   Safety reporting
(viii)   DBS checks

5.6   **Researchers**

5.6.1   It is the responsibility of staff, student and affiliate researchers and their supervisors to plan and conduct their research within the parameters of ethical practice and with integrity in accordance with the UK Research Integrity Office (UKRIO) Code of Good of Practice for Research.

5.6.2   Prior to commencement of data collection, staff and student researchers must:

(i) Recognise their responsibility to conduct research of high ethical standards and ensure that any ethical implications of the research have been given proper consideration.

(ii) Be aware of KCL policies and procedures relating to good practice in research and make sure that their research complies with these policies and procedures, seeking guidance from the Research Ethics Office when necessary.

(iii) Establish if ethical clearance is required for their research and ensure this is sought and received prior to the commencement of recruitment of participants or data collection.

(iv) Ensure that any applications for ethical review are complete, well-written, contain all the supporting documentation and will be conducted in accordance with all UK and University policy and legislation (including GDPR).

(v) Work with the Research Governance, Ethics and Integrity team to ensure that they have the necessary training, resources and support to carry out their research.

5.6.3 During the course of data collection, staff and student researchers must also:

(i) Ensure that data collection is conducted in line with their ethically approved protocol and seek a formal modification to the existing ethical clearance for any planned or unexpected but necessary change to the approved methodology or supporting documentation, including extensions to the window of data collection.

(ii) Inform the Research Governance, Ethics and Integrity Team of any adverse event (i.e., an event which had not been foreseen in the application and was disadvantageous to one or more participants), protocol deviations or ethics breaches.

5.6.4 Prior to, during, and following the completion of research activities, researchers are expected to consider the ethical implications of their research and, depending on its nature, the cultural, economic, psychological, physiological, political, religious, spiritual and social consequences of the research for the human participants involved.

5.7 Supervisors

5.7.1 Research supervisors are responsible for overseeing their students' research conduct. This includes the development of an ethics applications and providing or directing to relevant advice and guidance as appropriate.

5.7.2 Supervisors must come to an agreement with their students about the scope, research questions, design and methods of the research.

5.7.3 Supervisors are responsible for advising their students if ethics clearance is likely to be required, what ethical considerations may arise in a research project, and how these may be addressed.

5.7.4 Supervisors must ensure that their students do not commence research without having the appropriate ethical clearance and any other required approvals in place.

6 Research Ethics Procedure

A copy of the Research Ethics Procedure can be found on the ethics webpages and are subject to change.

7 Research Governance matters which impact research ethics

7.1 Processing of Personal Data

7.1.1 Personal data is any information relating to an identified or identifiable natural person. These data have statutory protection under the GDPR2016 and the UK Data Protection Act 2018.

7.1.2   Researchers must comply with data protection law when collecting and processing personal data. Where personal data is processed in jurisdictions outside the European Economic Area, they should be handled to the standards prescribed by UK data protection law.

7.1.3   Under this legislation any personal data collected must be processed fairly and lawfully. Among other things researchers are required to issue a privacy notice to their research participants, which explains the purpose(s) for which the data are being collected, the lawful basis for processing the data, who the data will be disclosed to, and the rights of the individuals in respect of their personal data.

7.1.4   All KCL recruitment document templates are UK GDPR compliant. Where researchers wish to deviate from following KCL templates, this should be justified in their ethics application.

7.1.5   Researchers must ensure that personal data are kept secure and are not disclosed to unauthorised persons. This is important for all personal data but particularly applies in the case of special category sensitive personal data, which include information about an individual's: race; ethnic origin; politics; religion; trade union membership; genetics; biometrics (where used for ID purposes); health; sex life; or sexual orientation.

7.1.6   Under UK Data Protection legislation, as a registered data controller, King's College London has an obligation to maintain accurate records that reflect current processing activities at the University.

7.1.7   It therefore is a mandatory requirement that all staff and students planning to collect and store any personal data as part of a King's sponsored study must register this processing activity in one of two ways:

(i)   By submitting an ethics application through REMAS, researchers can complete an integrated data management plan in order to register processing activity.

(ii)   Where external ethical approval has been obtained or the processing of personal data does not require CREC ethical clearance, personal data processing can be registered through the College's Kings Data Protection Register (KDPR).

7.2   **Insurance**

7.2.1   Most KCL sponsored research projects are automatically covered by the University's general insurance or the College's Clinical Trials and Research Projects Involving Human Subjects Insurance Policy once ethical clearance has been granted. However, there are some specific exclusion criteria that apply that researchers are required to consult with to establish if the proposed activity can be automatically covered by the policy or not.

7.2.2   If the activity meets any of the policy's exclusion criteria as outlined in REMAS, researchers must contact the College's Insurance Officer to confirm if KCL are able to provide insurance for the research. Without this confirmation KCL insurance cover will not apply and researchers will therefore be personally liable for any claims that may arise from the project.

7.2   **Risk to the Researcher**

7.2.1   Researchers need to take responsibility for all risk assessments associated with their projects, this extends beyond potential risks to participants and includes any potential risks to the researcher or their wider research team.

7.2.2   Researchers are therefore required to complete a Departmental Risk Assessment Form prior to commencing data collection if their study involves any of the following -

(i)   The study places the researcher at any risk greater than that encountered in his or her daily life (e.g. research work alone or in dangerous circumstances)
(ii)   Data collection outside of the UK, other than your home country

(iii)   The administration of food substances (risks of allergic reactions, choking, food hygiene etc)

7.2.3   Whilst CREC may recommend that a Departmental Risk Assessment Form is completed as a condition of granting ethical clearance, this process is managed locally by departments and supported by the KCL Health and Safety Services team.

7.2.4   Local departmental risk assessment requirements can vary; therefore researchers should familiarise themselves with their local risk assessment procedures at an early stage in their research development and ensure that completed risk assessment forms have been signed off by either the researcher's supervisor (for students) or the researcher's Head of Department (for staff) that prior to the arrangement of any travel or recruitment.

8   Reporting

8.1   CREC reports to the College Research Committee on an annual basis and subsequently to Academic Board. Any policy developed by CREC is therefore approved through Academic Board.

8.2   CREC also reports annually to the Audit, Risk and Compliance Committee.

9   Enforcement

Non-compliance with this policy or associated policies, procedures and guidance, is an infringement of King's regulations and will be investigated in accordance with the appropriate university regulations.

10   Review

This policy will normally be reviewed every three years.

11   Sources and further reading

UKRIO research Ethics Support and Review, https://ukrio.org/ukrio-resources/publications/research-ethics-support-and-review/

The Research Ethics Guidebook, http://www.ethicsguidebook.ac.uk/

The British Psychological Society, Code of Human Research Ethics (2010), http://www.bps.org.uk/sites/default/files/documents/code_of_human_research_ethics.pdf

ESRC, Framework for Research Ethics (2016), http://www.esrc.ac.uk/funding/guidance-for-applicants/research-ethics/

https://www.research-integrity.admin.cam.ac.uk/research-ethics/ethics-application-guidance/applying-ethical-approval-basic-principles

Report from the Dean

Action required

☐ For approval
☐ To recommend for approval
☐ For discussion
☒ To note

Paper Explanation for Members

Why is this paper being presented?	This paper provides an update on areas within the remit of the Dean's Office.
What are the key points/issues?	Updates to the progress of this year's AKC programme, events within the Chaplaincy, and the activities of the Chapel Choir
What is required from members?	Deans of Faculties are asked to encourage Heads of Department to promote the AKC among students and staff, and given the ongoing conflict in the Middle East, all Board members are asked to remind their colleagues and peers of the options for support available to both students and staff (including, but not limited to, the Chaplaincy)

Paper Submitted by:

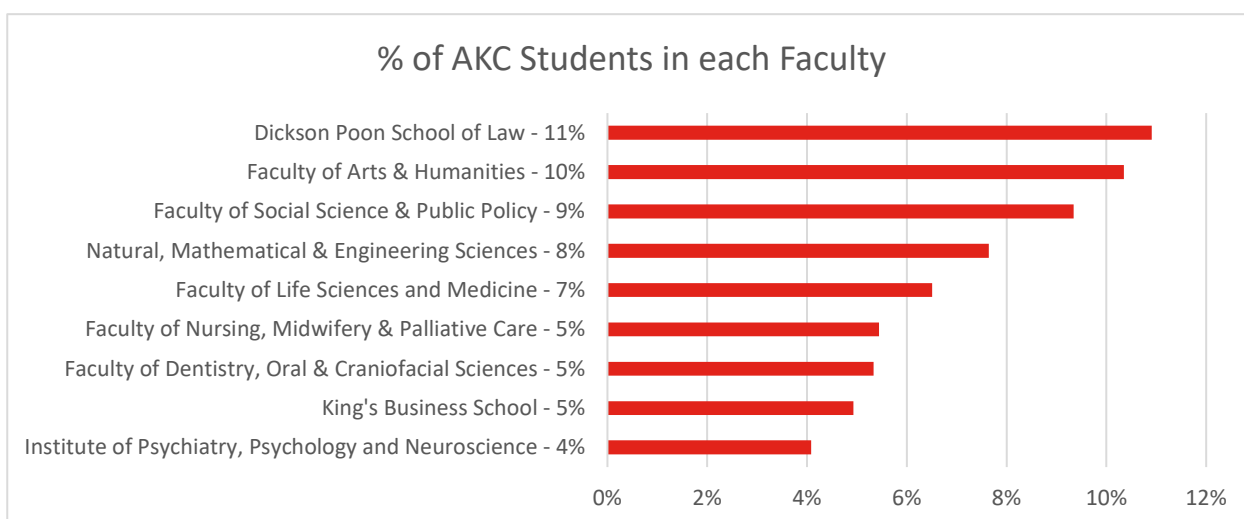Ellen Clark-King, Dean of King's College London, Dean's Office & Chaplaincy

Report from the Dean

1. <u>Dean's Office</u>

a) The Dean's Office and the Chaplaincy have been involved in different ways for providing ongoing support for our diverse community of students and staff over the last few difficult months. I am very grateful to all those Chaplains who have sat with and listened to people often in a great deal of distress, and we are all aware that this situation is likely to continue for some time.

b) Amongst other initiatives and events, I have been involved in helping to co-ordinate a memorial event for King's alumnus Dr Maisara Alrayyes, who was killed in Gaza in early November. This will take place on Wednesday 29 November.

c) Although we all wished that the occasion weren't necessary, it was lovely to see both current and former team members at the funeral of our former colleague Bishop Keith Riglin at the end of October. We hope to have a King's memorial service in the Strand Chapel towards the end of January – more information will be available in due course.

d) My planned children's book, telling the story of a stray cat who finds a home at King's, now has an illustrator, and I am looking forward to the book being produced in the next year, and raising funds for the King's Sanctuary Programme.

2. <u>AKC (Associate of King's College)</u>

a) We are at the stage in the term where enrolments for the course have stabilised, and this year the AKC has a cohort of over 3000 students, including 2000 new 1st year enrolments. This is in step with last year's enrolment figures and continues to remain higher than the pre-Covid enrolment figures.

b) This year we have 125 staff participating in the AKC, which is higher than last year. We are delighted to see so many staff members discovering the AKC and promoting it to their colleagues and student cohorts. Members of staff still wishing to enrol can do so by emailing akc@kcl.ac.uk; it is also possible to listen to the lectures in podcast form here.

c) Initial analysis of student data shows that while engagement varies across Faculties, ~10% of students from A&H, Dickson Poon, and SSPP are currently participating in the AKC. The full breakdown can be seen here:

% of AKC Students in each Faculty

Faculty	%
Dickson Poon School of Law	11%
Faculty of Arts & Humanities	10%
Faculty of Social Science & Public Policy	9%
Natural, Mathematical & Engineering Sciences	8%
Faculty of Life Sciences and Medicine	7%
Faculty of Nursing, Midwifery & Palliative Care	5%
Faculty of Dentistry, Oral & Craniofacial Sciences	5%
King's Business School	5%
Institute of Psychiatry, Psychology and Neuroscience	4%

d) This year the AKC has partnered with King's Volunteering to run a pilot to encourage AKC students to consider volunteering. All first year AKC students have been invited to participate; students who complete 12 hours of volunteering through King's Volunteering can substitute these hours for one

Semester of the 2023/24 AKC series. To date we have received about 30 expressions of interest from first year students. King's Volunteering will provide us with a full participation report at the end of May 2023.

e) Planning is already underway for 2024/25, working on the themes of 'War and Peace' in Semester I and 'Love, Identity and Relationships' in Semester II.

3. Chaplaincy

a) The services held in the Strand Chapel October to mark Latinx Heritage Month and Black History Month were well-received, as was the talk in November from Romana Kazmi, one of our Muslim Chaplains, reflecting on Inter-Faith Week and Islamophobia Awareness Month.

b) We once again hosted a vigil in the Strand Chapel for the Trans Day of Remembrance in mid-November, organized with Proudly King's, the KCL LGBT+ Society, and the LGBT+ Student Network. It was painful to read out the names of those who have died over the last year, but it is important to remember.

c) Our annual Chaplaincy weekend away, held at the Wychcroft Resource & Retreat Centre in the Surrey countryside, was attended by a good mix of staff and students. This was a good opportunity for both Chaplains and others to get to know new people, which is always a positive thing!

d) At the time of writing, we are preparing for our annual Advent and Christmas Carol services in the Strand and Guy's Chapels, although by the time of the Board meeting the services at the Strand will have taken place (there is still time to get to Christmas Carols at Guy's on 14 December!. We are looking forward to welcoming to the Advent Carol services various guests invited by the Vice-Chancellor, members of the Council (we are delighted that Lord Geidt will be giving one of the readings on Thursday 7 December), and guests invited by the Fundraising & Supporter Development Office. These services are one of the high points of our year, and we know that they provide special memories for generations of King's alumni.

e) Along with other student services, we are involved in planning support for students during the vacation, especially for those who may be far from home at a time when everyone around them is celebrating with family. Activities already confirmed include winter walks, and a number of brunches with board games across the campuses in the week of 18 December – see our website for details.

4. Chapel Choir

a) It was an honour for current and former members of the Choir to be asked, by Bishop Keith Riglin's widow, to sing at his funeral in October – although Dr Joseph Fort, the Director of the Chapel Choir, was unable to be there as he was on paternity leave at the time!

b) As might be expected at this time of year, the Choir's current focus is on the various carol services which are coming up. As mentioned in the last Report, the Advent Carol services will include the premiere of a piece by Grace Evangeline Mason, which is the final item in our year-long partnership with 'Choir & Organ' magazine for their New Music Series. Information about other commissions in the series can be found online, and videos of performances of a couple of the pieces ('The Doubter's Prayer' by John Sturt, and 'Introit' by Cydonie Banting') are on YouTube.

c) As always, don't forget that a number of the Choir's recordings can be bought on CD via the King's e-store, and make good Christmas presents!

21 November 2023

Academic Board	
Meeting date	13 December 2023
Paper reference	AB-23-12-13-09.2
Status	Final
Access	Members and senior executives
FOI Release	Restricted due to Data Protection Act requirements
FOI exemption	s.40 personal information

Election of Associates of King's College London

Action required

☒ For approval
☐ For discussion
☐ To note

Motion: That the staff and students listed be elected as Associates of King's College London

Paper Explanation for Members

Why is this paper being presented?	The Council has delegated to the Academic Board this request to elect as Associates of King's College London those students and staff listed.
What are the key points/issues?	The AKC is the original award of the College and was first used in 1833. The course is unique to King's College London, and is the only course open to students from every department. King's has had a lively and intelligent religious tradition from its foundation. The AKC reflects this with a series of open, academic lectures. It provides an opportunity to think about fundamental questions of theology, philosophy and ethics in a contemporary context. The Royal Charter states 'the objectives of the College shall be to advance education and promote research for the public benefit. In so doing the College shall have regard both to its Anglican tradition as well as of its members' backgrounds and beliefs, in its education and research mission'. The AKC is the primary way of fulfilling this and the Mission Statement of the College also states that 'All students will be encouraged to follow the AKC'.

Once students have completed the course, and graduated from King's, they are eligible to apply for election by the College Council as an Associate of the College. Once elected, they can use the letters AKC after their name. The AKC is also open to staff. |
| **What is required from members?** | To approve the election of the students and staff listed at the Annex as Associates of King's College London. |

Paper Submitted by:

The Revd Dr Ellen Clark-King, Dean of King's College London

These pages have been redacted

Academic Board

Meeting date	13 December 2023
Paper reference	AB-23-12-13-10
Status	Final
Access	Public

Report from Council

Action required

☐ For approval
☐ For discussion
☒ To note

Paper Explanation for Members

Why is this paper being presented?	These reports are made to Academic Board following meetings of Council and are intended to improve the flow of information from Council to the Board to match the flow of information in the opposite direction. The report will be presented by the members of Council elected from the membership of the Academic Board and covers items considered by Council, except for any that are confidential.
What are the key points/issues?	This report presents a summary of key, non-reserved issues discussed and decisions taken at the meeting of Council held on 21 November 2023
What is required from members?	To note

Paper Submitted by:
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Report from Council – Meeting of 21 November 2023

Agenda materials and minutes of the meeting will be found here following the 18 January 2024 meeting of Council.

Council received, discussed and/or approved the following non-reserved items:

- Financial Statements 2022-23 and Auditors Management Letter. KPMG will complete the audit on 28 November 2023. The motion for approval was granted.
- External Audit Report & Letter of Management Representation. The motion for approval was granted.
- Five-year Financial Forecast to Office for Students. This years' submission and motion for approval was granted.
- King's Interdisciplinary Science (Phase 1) – The full Business Case was discussed with the motion for approval granted.
- Student Success Transformation Programme – the revised Business Case was discussed along with the risks to the Student Success Transformation Project.
- The Investment Subcommittee Annual Report was presented by the Vice President (Finance) & Chief Financial Officer, for information.
- Management Accounts for Month 2, 2023-24, presented by the Vice President (Finance) & Chief Financial Officer.
- Discussions were held around the Board Assurance Framework (BAF), presented by the Chair of the Audit, Risk & Compliance Committee. The next steps for implementing the BAF were approved.
- Council approved the following items from the Audit, Risk & Compliance Committee: the Annual Statement regarding the Prevent Duty; the Annual Research Integrity Statement; the Annual College Safeguarding report; and noted the Internal Assurance and the Compliance Assurance updates.
- GKT School of Medical Education Branch Campus. The Vice-Chancellor presented a proposal (for approval), to establish a branch campus of KCL's medical school at the University of Portsmouth. This motion was approved, pending Government approval.
- Assurance Report on the OfS Conditions of Registration 2022-23 (recommended by the Academic Board). The motion was approved.
- Research Concordat Action Plan. The report required by UUK with respect to adherence to the Research Concordat. The motion was approved.
- Council noted the summary of discussions from the Staff & Culture Strategy Committee (SCSC) on: the Staff Survey, the Student Success Transformation Programme, and the role of the SCSC.

Council's next meeting is scheduled for **18 January 2024**.

Paul Mould
Deputy College Secretary & Chief Compliance Officer
December 2023