Meeting of the Council to be held on Tuesday 23 November 2021 at 17.00 on MS Teams

Agenda

1	**Welcome, apologies and notices**		Chair
2	**Approval of agenda**	KCC-21-11-23-02	Chair
3	**Unanimous Consent Agenda** (including: Minutes of the Previous Meeting; Away Day summary *(RESERVED)*; and Actions Log)	KCC-21-11-23-03.1 KCC-21-11-23-03.2 KCC-21-11-23-03.3 KCC-21-11-23-03.4	Chair
4	**Matters Arising from the minutes** Report of GNC – Petition re Membership of Council	KCC-21-11-23-04	College Secretary
5	**Report of the Chair**	Verbal	Chair
6	**Report of the President & Principal** *Items for Consideration*		
	6.1 Summary Report on Key Issues (to note)	KCC-21-11-23-06.1	President & Principal
	6.2 Strategic Relationship: King's and the Courtauld Institute (to approve) *(RESERVED)*	KCC-21-11-23-06.2	President & Principal Paul Goswell & Clare Sumner
	Please see Consent agenda for the remaining Item		
7	**Reports of Committees**		
	7.1 Finance Committee Items for Consideration	KCC-21-11-23-07.1	Honorary Treasurer & VP Finance
	(i) Financial Statements 2020-21 (to approve)	Annex 1	
	(ii) Update on 2021/22 and 5-year Forward Plan (to approve)	Annex 2	Honorary Treasurer & Chair
	(iii) ███████████████████████	██████	██████
	Please see Consent agenda for the remaining items		

FIVE MINUTE BREAK			
	7.2 Audit, Risk and Compliance Committee *Items for Consideration*	KCC-21-11-23-07.2	Chair, Audit, Risk & Compliance Committee
	(i) External Audit Report & Management Letter (to approve)	Annexes 1&2	
	(ii) Annual Report of the Audit, Risk & Compliance Committee (to note)	Annex 5	
	Please see Consent agenda for the remaining Items		
	7.3 Academic Board *Please see Consent agenda for all Items*	KCC-21-11-23-07.3	President & Principal
	7.4 Governance & Nominations Committee *(RESERVED)* To follow		Chair, Governance & Nominations Committee

7.5	Estates Strategy Committee *(RESERVED)* (i) ████████████████████████ ████████████████████	KCC-21-11-23-07.5 Annex 1	Chair, Estates Strategy Committee
	Please see Consent agenda for the remaining items		
7.6	Fellowships & Honorary Degrees *(RESERVED)* *Please see Consent agenda for all items*	KCC-21-11-23-07.6	Chair

8   **Report of the KCLSU**

Report of the KCLSU President (to discuss)   KCC-21-11-23-08   KCLSU President

9   **Any other business**

10   **Adjournment**

Lord Geidt
November 2021

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 Council approve or note for information the items contained in the Unanimous Agenda, listed below.

Item	Title	Paper	Action
3.2	Minutes of 14 July 2021	KCC-21-11-23-03.2	Approve
	Away Day Summary Notes *(RESERVED)*	KCC-21-11-23-03.3	Note
3.5	Actions Log	KCC-21-11-23-03.5	Note
Report of the President & Principal			
6.3	███████████████	█████████	██████
Report of the Finance Committee		KCC-21-11-23-07.1	
7.1	(i) Chief Finance Officer Report		Note
	(ii) Investment Subcommittee		Note
	(iii) Autumn Spending Review		Note
	(iv) Management Accounts		Note
	(v) Tax 2020 review		Note
	(vi) Schedule of Insurances		Note
Report of the Audit, Risk & Compliance Committee		KCC-21-11-23--07.3	
7.3	(i) Annual Statement regarding the Prevent Duty	Annex 3	Approve
	(ii) Annual Research Integrity Statement	Annex 4	Approve
	(iii) Annual Report of the Department of Business Assurance	Annex 6	Note
	(iv) Internal Audit Update		Note
	(v) Compliance report		Note
	(vi) Enterprise Risk Management update		Note
	(vii) Risk presentations and discussions: Financial Sustainability	Annex 7	Note
Report of the Academic Board		KCC-21-11-23-07.4	
7.4	(i) Annual OfS Registration report	Annex 1	Approve
	(ii) Action Plan against the Researcher Concordat	Annex 2	Approve

(iii)	Terms of Reference – CEC and CRC	Annex 3 & 4	Approve
(iv)	Academic Board elections results		Note
(v)	Research – strategic discussion		Note
(vi)	Student experience – progress and initiatives		Note
(vii)	Equality, Diversity and Inclusion		Note
(viii)	Online Professional Education		Note
(ix)	External Examiners Overview Report		Note
(x)	School merger in FoLSM		Note
(xi)	Academic Board Committee reports		Note

Report of the Estates Strategy Committee *(RESERVED)* KCC-21-11-23-07.6 All to Note

7.6 ██████████████
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Report of the Fellowships & Honorary Degrees Committee *(RESERVED)* KCC-21-11-23-07.7

7.7	(i)	Nominations for Honorary Degrees	Annex 1	Approve
	(ii)	Nominations for Honorary Fellowships	Annex 2	Approve
	(iii)	Nominations for Fellowships	Annex 3	Approve
	(v)	Guidance on Application of Awards		Note
	(vi)	Honorary Degrees Awards – Conferral Backlog		Note
	(vii)	Fellow Vacancies		Note
	(viii)	Criteria and Procedure for removing Honours		Note
	(ix)	Posthumous Awards		Note

See published minutes from the previous meeting here

King's College Council	
Meeting date	23 November 2021
Paper reference	KCC-21-11-23-03.2
Status	Final

Actions Log

Action required

☐ For approval
☐ For discussion
☒ To note

Executive summary

Council is asked to note the action taken following discussions at previous meetings.

Actions Log

Meeting	Minute	Topic	Decision for Action	Notes	Owner	Original deadline	Progress	
July 2021 Council Meeting								
14/07/21	▪	▪▪	▪▪▪▪▪	▪▪▪	▪▪▪	November 2021	Complete	
14/07/21	▪	▪▪	▪▪▪▪▪	.	▪▪▪	Academic Year 2021/2022	In progress	
May 2021 Council Meeting								
26/05/21	10	AOB: Climate Risk	Future in-depth discussion of ESC/Climate Change/Climate Risk (noting the importance of the issue next time there was a Council membership vacancy to fill, and noting that the Russell group have a sustainability group working collaboratively in the sector)	Discussed at September 2021 Estates Strategy Committee	College Secretary	Academic Year 2021/2022	In progress	
March 2021 Council Meeting								

31/03/21	4	Strategic Planning & Priorities	Series of Council breakfast briefings to be scheduled. Potential topics: climate change and planetary health, climate justice, emerging and disruptive technologies, data science, mental health and economic inequality.	Two holding dates scheduled for each term during 2021-2022 academic year	College Secretary	By July meeting	Complete
31/03/21	6.2	Balanced scorecard update	Chair of ARCC and Interim Principal to decide if the Council's version of the Principal's report should also include an annex on risk and risk management (as the Audit, Risk & Compliance Committee did)	In progress	Chair, ARCC & Interim Principal	May meeting	In progress
31/03/21	8.1	KCLSU President report	KCLSU termly Town Hall dates to be forwarded to Council Members for information	Dates to be finalised in July with the new KCLSU sabbatical officers	KCLSU President		In progress
31/03/21	7.1 (ii)	Debt-raising	A more detailed paper including repayment options would be considered by the Finance Committee and reported back to Council.		VP Finance/Chair FC		In progress
31/03/21	7.1 (iii)	Financial Outlook and Risks	The Finance Committee to receive a report on the Research Deficit Plan, which it would then report to Council		VP Finance/Chair FC		In progress
November 2020 Council Meeting							
21/01/21	6.5	Modern Slavery Act Transparency Statement 2019-2020	The Vice President (Education) volunteered to investigate what could be done to strengthen the statement and would review what the suppliers/consortia do in terms of training and due diligence. It was noted that Council's Audit, Risk and Compliance Committee reviewed a report on procurement on an annual basis and would seek this assurance as part of that discussion.	TBC For ARCC when it views the annual procurement report	VP (Education)		In progress

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21/01/21	■	▬▬▬▬ ▬▬▬▬ ▬▬ ▬▬ ▬▬ ▬▬	▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬ ■ ▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬ ■ ▬▬▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬ ■ ▬ ■ ▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬▬▬▬▬▬ ▬▬▬▬▬▬	▬▬▬▬▬▬ ▬▬▬▬▬ ▬▬▬▬▬▬ ▬▬▬▬▬ ▬▬▬▬▬▬	▬▬▬▬		

July 2020 Council Meeting

15.07.20	6.1	Principal's report	NSS – Noted that there would be a further fundraising report on NSS areas	Updated NSS report (and an updated Fundraising report on NSS areas)	Fundraising	2021	In progress

January 2020 Council Meeting

30.01.20	06.1	Champion Hill	Detailed investigation to be overseen by the Chairs of ARCC and ESC	Colliers report has been reported to both ARCC and ESC	College Secretary	Ongoing	Complete
30.01.20	06.3	OfS – Access & Participation	Briefing on the nature of the requirements for reporting purposes to be scheduled for Council members	Schedule a briefing	College Secretary	January 2021	In progress – OfS is amending its timelines and requirements

September 2019 Council Meeting

25.09.19	5.2	Update on College Statutes	Proposed Statute amendment as approved by Council to be submitted to the Privy Council for final approval	Waiting for approval from the DfE	College Secretary	Ongoing	In progress – waiting for DfE approval to move forward – update in GNC report
25.09.19	▪ ▪	███ ███ ███ ███ ███ ███	▪ ████████████ ██████████ ██████████████ ████████	████ ████ █████ █████ ██	████ ████		████ ████ █████ ██████ ████

Joanna Brown

Governance Manager

November 2021

Matters Arising - Report of GNC – Petition re Membership of Council

Action required

☐ For approval
☒ For discussion
☐ To note

Executive summary

The original report submitted to Council from the Governance & Nominations Committee (GNC) with respect to the petition to revise the membership of Council contained an editing error that has caused the petition's initiator, Dr Ewan McGaughey, to insist at the November Academic Board that the report be withdrawn.

The same error occurred on pages 1 and 3 of the report. On page 1, the report read:

In autumn 2020 and in subsequent correspondence in winter 2021, the Chairman and the President & Principal received a petition that members of the Council of King's College London be elected and that the majority of the members of Council be staff and students

The first sentence should have read: …*the Chairman and the President & Principal received a petition that* <mark>*staff and student*</mark> *members of the Council…be elected…*

The paragraph should also have been more clearly drafted to delineate between the proposals generated from the petition and those from subsequent submissions from Dr McGaughey which would lead, if fully adopted, to the majority of members of Council being staff and students and all members being elected.

On page 3, the original report read as follows:

The petition (Appendix 1) sought a return to the 1997 structure with full and free elections for all positions on Council

Again, the sentences should have read: …*a return to the 1997 structure with full and free elections for all* <mark>*staff and student*</mark> *positions on Council*

The report will be corrected before it is published with the Council papers following the meeting of 23 November and the College Secretary will report that has been done at the next meeting of the Academic Board. For completeness, it would be helpful to understand whether this error has material impact on Council's decision with respect to the matter and whether it wishes to reconsider the issue as a result. It is noted that the full original text of the petition and subsequent proposals from Dr McGaughey were provided to Council as appendices to the GNC report.

King's College Council

Meeting date	23 November 2021
Paper reference	KCC-21-11-23-06.1
Status	Final

Principal's Report

Action required

☐ For approval
☐ For discussion
☒ To note

Executive summary

Council receives a report at each meeting from the President & Principal highlighting current issues and events and developments since the last meeting of Council.

Principal's Report

My first six months

During June and July, as part of the Listening Exercise and induction sessions, I met with 60 different groups and talked to almost 700 staff and students. It was wonderful to hear so many different perspectives ranging from front line staff through to academic teachers and researchers, from students to Heads of Department. Staff shared how the pandemic has changed the way they work, and it was clear how hard they worked to ensure 2020/21 was as successful as it could have been. They shared with me many things that we need to address going forward.

- There are some basics like better integrating our administrative systems and simplifying and streamlining processes to make our education delivery infrastructure work well. There is more to do to enhance the student experience and address student mental health and wellbeing to make students successful overall and fulfil their potential. Both will remain a priority going forward.
- For staff, I want to explore how research staff and early career researchers can have more sustainable careers, how we make the Academic Education Pathway more prominent to give colleagues equal esteem, and for those on teaching and research contracts how better to balance the increasing number of tasks that make up an average workload.
- The research funding environment is changing and as government priorities evolve and alternative lines of funding emerge, we will need to be smart about adapting and growing our capability to remain competitive.
- Many people showcased how they embed service and culture in their work and how these can enhance our reputation and influence others. It was clear that we do many great things, but don't have the resources to help them grow further to make them truly world-class.

Combining these ideas with the input received at the Council Away Day, our task now is explore how our Strategy needs to change in light of COVID and Brexit. We will consult with staff and get their input and bring to you draft proposals early in the new year. From these dialogues will emerge Strategy 2025 a map of our priorities for the next four years, and the next stage of our path to *Vision* 2029.

Coronavirus update

The university continues to manage the risks and impact of coronavirus.

The Government announced Step 4 on the roadmap in July 2021, this ended the use of legislation to control the risks associated with COVID-19 but instead, placed the responsibility upon institutions to assess and manage these risks as part of their responsibilities under the Health and Safety at Work Act 1974, Equality Act 2010.

The university has updated its safety plan, with the input from expert external H&S legal advice, and updated its outbreak and incident plans and put in place monitoring via SCOT. The revised safety plan has been widely communicated across the university and we wish to encourage a sense of community responsibility where individuals take care of themselves and others by complying with the COVID measures it has put in place and reporting any shortcomings so that they can be rectified. Our safety approach is based on vaccination, mask wearing, hygiene and social distancing where possible. In addition, we have provided an active testing service.

Testing & Case Management

- KCL Test has performed 55,498 tests (from December until 5 October 2021), with a positive rate of 0.27%

- Staff and students coming on to campus are expected to take a test twice a week, and the number of individuals taking a KCL test has steadily increased since the start of term with 3478 tests carried out during the w/c 27 September.
- For academic year 2020-21 we had 1282 positive COVID-19 reported cases amongst our community, however only a very small number of these were on campus. The Case Management Team continues to monitor cases across our community.

Approach to the Academic Year 2021-22:
- Academic strategy for 2021-22 continues with a blended approach, undertaking as much on-campus activity as can be provided within Government guidelines.
- We are providing the infrastructure and H&S systems to ensure that the right delivery model is in place for staff and students: this includes adding additional teaching staff resource; flexible timetabling, repurposing and re-configuring spaces and the use of hy-flex and Echo 360.

Pensions Update

The Joint Negotiating Committee (JNC) has confirmed pension benefit reform [based on a 31.2% total contribution] in line with the UUK alternative proposal and member consultation commences November 2021. Agreement is needed by 28 February 2022 to ensure we do not start to see the significant increases in pricing that USS initially set out 42-56% (current 30.7%). The unions informally set out an alternative option but did not put it out formally for consideration by the JNC. We are concerned about UCU's position which now calls for a ballot on two aspects, pension and broader conditions including pay, gender pay gaps and casualisation. We continue to hold regular monthly town hall meetings, provide support for pensions clarity and meet with departments as requested and feedback on this is positive. The broader issues of staff action and contingency planning are dealt with elsewhere

The SAUL - valuation of the same date resulted in a 5% increase in employer contributions to 21% in two tranches. There are no shared cost arrangements, the employer takes the increase.

[███]

Cybersecurity accreditation

King's has regained its Cyber Essentials accreditation and is now also Cyber Essentials Plus accredited. The accreditations relate to centrally provided and managed software and hardware – over 10,000 devices running hundreds of software packages. This has been the culmination of over two years work – interrupted and delayed by the pandemic and enables us to bid for over £50m of research income. It also shows the continued strengthening of our cyber-posture.

Student Disability issue

A disabled King's student put a petition on the Change.org website relating to ongoing access issues to King's buildings and staff and garnered more than 40,000 signatures. This even though the Department and Estates have engaged repeatedly with the student over the last 18 months. Adam Fagan, VP Education, has taken the lead in investigating what went wrong. Adam met with the student and the key thing that emerged from the discussion was that although we had met our obligations in terms of the Equalities Act, the communication with the student and our approach have not been agile enough to respond to a student's condition. Better triaging and communication would have made a tangible difference to the student's circumstances. Adam will chair a case investigation to ascertain what lessons can quickly be learnt for other students. The student has kindly agreed to participate in this investigation and to work closely with us in addressing the issues raised. Since the meeting she has posted an update to the petition welcoming our new approach.

Shitij Kapur, President & Principal
November 2021

These pages have been redacted

King's College Council

Meeting date	23 November 2021
Paper reference	KCC-21-11-23-07.1
Status	Final

Report of the Finance Committee (FC)

Contents	Meeting at which considered	Consent agenda	Council action
1. Financial Statements for the Year Ended 31 July 2020 (**ANNEX 1**) and Auditor's Management Letter (See ARCC report to Council, item 7.2)	15 November 2021	No	Approve
2. Update on 2021/22 and 5-Year Forward Plan **ANNEX 2**	15 November 2021	No	Approve
3. ███████████████████████████	███████████	██	█████
4. Chief Finance Officer Report	15 November 2021	Yes	Note
5. Investment Subcommittee	15 November 2021	Yes	Note
6. Autumn Spending Review	15 November 2021	Yes	Note
7. Management Accounts	15 November 2021	Yes	Note
8. Tax 2020 review	15 November 2021	Yes	Note
9. Schedule of Insurances	15 November 2021	Yes	Note

For Approval

1. **Financial Statements for the Year Ended 31 July 2020 and Auditor's Management Letter (See Annex 1)**

   Motion: **(i)** That the consolidated financial statements be approved and scheduled to be signed.

   (ii) That Council is assured that adoption of the going concern assumption in the preparation of the consolidated financial statements is reasonable.

   Background: The Committee received the university's consolidated financial statements for 2020-2021 and was satisfied that the adoption of the going concern assumption in their preparation was reasonable. Council as the university's governing body are responsible for ensuring the going concern assumption is reasonable. **Annex 1** also contains summary references to the work performed by management in justifying this assumption.

   The publication of the accounts this year will be changed so that they are launched after key messaging is shared internally. The Office for Students requires publication by the earlier of 5 months after the year end or within two weeks of signing. In order to finalise the narrative and associated publication materials we have asked for approval for the Chair to sign in December in order to allow for this additional communication work to be undertaken. The version provided to Council is complete numerically and will be subject to some presentational adjustments including the replacement of the CFO report with a Principal & President report and some tonal changes.

   See the Audit, Risk & Compliance Committee report to Council (Item 7.2) for the Auditor's Management Letter.

2.   Update on 2021/22 and 5-Year Forward Plan (See Annex 2)

Motion: (i) That the five-year operating forecast as a basis for reporting to the Office for Students (OfS), be approved; and

(ii) That delegation of authority to the Chair of Finance Committee and Principal for the final sign off of the submission to the OfS in the prescribed format in February 2022, be approved.

Background: The Committee received an update on 2021/2022 and considered the 5-Year forecast,. Itrecommends the five-year operating forecast to Council for approval.

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For Note

4.   Chief Finance Officer (CFO) Report
The Committee noted a report from the CFO which provided a general summary of activities:
    1. Summary financial risks

2. Government autumn spending review
3. Items for report
    a. Fees 2022
    b. Staff loans
    c. Staff severance payments
    d. Bad debts
4. Current financial position
    a. Year end 2020/21 management accounts performance
    b. Current year Month 3 - highlights
5. Treasury update
6. Debt agreement amendments (Cessation of LIBOR)
7. Pensions
8. Tax strategy
9. Insurance
10. Financial sustainability

5. Investment Subcommittee
The Committee noted minutes from the July and September Investment Subcommittee meetings and noted the Annual Investment Report.

6. Autumn Spending Review
Noted.

7. Management Accounts
Noted.

8. Tax 2020 review
Noted.

9. Schedule of Insurances
Noted.

See Financial Statements

for the year to 31 July 2021

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Report of the Audit, Risk and Compliance Committee

Contents	Meeting at which considered	Consent agenda	Council action
1. External audit report and Management Letter (**Annexes 1 & 2**)	09 November 2021	No	Approve
2. Annual statement regarding the Prevent duty (**Annex 3**)	09 November 2021	Yes	Approve
3. Annual Research Integrity Statement (**Annex 4**)	09 November 2021	Yes	Approve
4. Annual Report of the Audit, Risk and Compliance Committee (**Annex 5**)	09 November 2021	No	Note
5. Annual Report of the Director of Business Assurance (**Annex 6**)	09 November 2021	Yes	Note
6. Internal Audit update	09 November 2021	Yes	Note
7. Compliance report	09 November 2021	Yes	Note
8. Enterprise Risk Management update	09 November 2021	Yes	Note
9. Risk presentations and discussions: Financial Sustainability (**Annex 7**)	09 November 2021	Yes	Note

For approval

1.   **External audit report and Management Letter**

Motion: That the Council approve the External Auditors' Report for the year ended 31 July 2021 and the letter of management representation from the university to the external auditors.

Background: The Chief Accountant presented the annual accounts for the year 2020-21, noting that the year started with uncertainty due to the potential impacts from Covid on student recruitment and the continuation of research projects. This led to a prudent approach being taken by King's as it entered the financial year. Costs were reduced wherever possible, although there was a need for additional spending in some areas, such as support to the student residences, setting up Covid testing facilities and additional mental health support. The main priority was to support staff and student wellbeing. The financial performance for the year had been reasonably healthy, given the context. King's had reported income of over £1bn for the first time, which represented a doubling of turnover in the past ten years and at year end the College held 152 days of expenditure in cash reserves. Overall, the performance was of the order described in the College's long-term financial strategy, albeit delivered in a manner which would be difficult to repeat year after year. Pensions had little effect on the financial statements this year, as the USS 2020 valuation and scheme adjustments were not completed in time for inclusion in these accounts. However, other potential risks were highlighted, including a return to mass movement restrictions due to Covid, the continuing impact of Brexit on logistics, lack of clarity on the government's approach to HE funding and home student fees, potential industrial action and the effects of those on student experience and research project delivery. The Committee looked closely at the basis for the opinion that the College was a going concern, particularly considering the likely impact of the USS pension deficit recovery plan and, with the help of the External Auditors who noted the incremental nature of the repayment scheme across several years, it was concluded that the opinion that the College was a going concern was soundly based.

Ms Fleur Nieboer and Mr Benjamin Lazarus presented the external audit findings on behalf of KPMG. Ms Nieboer noted that the audit process had run smoothly, and the Finance team had been very responsive to the auditors' queries. In the context of the size and complexity of the College, it was remarkable that the number of findings and recommendations in the report was relatively small. Ms Nieboer reported that work was almost complete

on the audit, that the work undertaken by KPMG had produced positive assurance, and that she expected to be able to issue an unqualified opinion on the accounts and the use of funds. Ms Nieboer confirmed that the work had taken close account of the key audit risks, which are recognition of funds, management override of controls, and valuation of land. Mr Lazarus presented some of the detail of the audit to the Committee and noted that there had been no issues raised with regard to management override of control, the recognition of income or with land valuations. It was reported that accounting estimates and assumptions were all balanced and sensible, although the attention of the Committee was drawn to a finding that the USS pension liability calculation had been made using very cautious assumptions, particularly around the discount rate, which provided a higher liability figure than would have been the case if a more balanced discount rate had been used. A final piece of significant audit testing had still to be undertaken on the payroll because the required salary data had not been made available for the auditors in time. It was noted that this was an issue with the audit process and not something which was likely to change the audit opinion. Ms Nieboer confirmed the independence of KPMG and brought a number of statutory communications to the notice of the members.

The members of the Audit, Risk and Compliance Committee (ARCC) were pleased to note the very positive comments of the auditors commending the efficiency of the production of information by the Finance department for the audit, and quality of that information when it was received.

> *KPMG audit report and management letter* – See **Annex 1.**
>
> *Letter of Management Representation to KPMG* – See **Annex 2.**

2. Annual statement regarding the Prevent Duty

Motion: That the Council approve the Annual Prevent Statement for the year ended 31 July 2021.

Background: Members of the ARCC considered the Annual Prevent Report and accompanying statutory Statement which had been prepared by the Academic Regulation, Policy and Compliance team in the Students and Education Directorate. It is a requirement of the Office for Students (OfS) that the statement on the management of the Prevent duty should be submitted by the university as part of its Annual Accountability Return. Members of the ARCC recommended the Annual Prevent Statement to the Council for final approval.

> *Annual Prevent Statement* – See **Annex 3.**

3. Annual Research Integrity Statement

Motion: That the Council approve the Annual Research Integrity Statement for the year ended 31 July 2021.

Background: Members of the ARCC considered the Annual Research Integrity Report and Statement which had been prepared by the Director of Research Governance, Ethics and Integrity. As a signatory to the Universities UK Concordat to Support Research Integrity, the College is required to publish an annual statement which sets out its approach to upholding research integrity, a retrospective report of activity which has been undertaken in the year to promote research integrity and an analysis of the number of cases over the past five years where breaches of research integrity have been reported and formally investigated, along with the outcomes. The ARCC has considered this statement and recommends it to the College Council for final approval.

> *Annual Research Integrity Statement* – See **Annex 4.**

4.   Annual report of the Audit, Risk and Compliance Committee

As a point of good practice in corporate governance, the Audit, Risk and Compliance Committee has prepared a report, reviewing its work in the 2020-21 year. The report includes a commentary on the Committee's management and engagement with the College. It specifically reviews work done in the Committee in relation to improving and embedding high quality risk management approaches within the College and provides a detailed report on each of the risk topic discussions which have taken place at the meetings of the ARCC. The report also comments on the interaction of the Committee with both the internal and external auditors, and its consideration of compliance matters. Overall, the report concludes that the College's arrangement for control and governance, securing value for money, and for producing high quality data for reporting to key public bodies were all adequate and effective.

Members of the Audit, Risk and Compliance Committee reviewed their annual report at this meeting and approved it for submission to the Council and to the accountable officer.

Annual Report of the Audit, Risk and Compliance Committee – See **Annex 5.**

5.   Annual Report of the Department of Business Assurance

To help support the members of the ARCC in providing their opinion on the overall system of control, governance, achievement of value for money, and management of data quality, the Department of Business Assurance has produced an annual report reviewing its work for the year. In summary, the report concludes that internal controls are generally considered to be adequate and effective, and where issues have been raised, management has been willing to engage and consider improvements. There is evidence to support the conclusion that value for money is sought in the management of various functions and activities and that, overall, the College has an adequate and effective approach to achieving value for money. Governance arrangements are also considered to be adequate and effective. In terms of risk management, the report concluded that the Executive is aware of the need to manage risk effectively and the College is currently engaged in an appropriate improvement programme which will support the cultivation of an effective risk management culture within the organisation.

Annual Report of the Director of Business Assurance – See **Annex 6.**

6.   Internal Audit update

The Interim Assistant Director of Business Assurance (Audit) reported to the Committee that progress against the internal audit plan was good, despite the need to employ contract auditors to ensure that the Internal Audit team was appropriately staffed. Nine reviews had been completed, with a further five in their final stages towards being agreed. Seven of the nine reviews reported were assessed as improvement being required, but most improvements were relatively minor, and management was engaged in the process in all cases. It was noted that there were some common themes across the reviews, most notably a slight weakening of controls had been identified, arising from the remote working during the Covid pandemic. Management were working to address the issues found in the reviews.

7.   Compliance Report

The main concerns raised in the Compliance Report were the issues connected with student visa management arising from changes in the regulations and an increased volume of students who require visas, and a potential prosecution by the Health and Safety Executive over a case of occupationally acquired asthma. The overall risk assessment levels for both student visa management and Health and Safety had increased as a result. The risk assessment for the compliance area relating to scientific procedures using animals were also reported as increased because of a change to the monitoring practices of the Home Office and a perceived hardening of the regulatory environment. Compliance Assurance Reviews of consumer protection, modern slavery and the democratic processes of the KCLSU were all reported as satisfactory, although a review of engineering support for high-risk laboratory and research facilities has raised a few concerns and recommendations have been made for

remedial action. The Senior Vice President (Service, People & Planning) and the Director of Covid Response presented the College Safety Plan to the ARCC. Members noted that the number of on-campus positive tests was remarkably low, which was attributed to a combination of the safety plan, regular testing and the rigour of the community in keeping each other safe.

8.   Enterprise Risk Management update

The Director of Strategy, Planning and Analytics reported to the Committee that work was progressing to embed risk management across the system. It was noted that the top-down processes were established already but a lot of work had been done recently on the bottom-up approach, focusing on how the College manages its risks on a daily basis. The Deputy Vice President (Operations) noted that risk management is not just happening through the big set-piece reviews, but also on a day-to-day basis in almost every management conversation. The review and restructure of senior portfolios will help to embed these processes further. An updated Corporate Risk Register is due to be presented at the University Executive in December and the next steps in Q1 and Q2 next year will be to review that register again in light of the strategy refresh. It was suggested that another meeting of the independent members with the staff who are engaged in shaping the Enterprise Risk Management Strategy would be beneficial and a date has been set in January to bring that group together.

9.   Risk presentations and discussion

The ARCC members received a presentation on the Size and Shape project, through the lens of financial sustainability. It was noted that the College has just passed its student numbers growth target for 2029 in the current admissions cycle, but it has not reached its target for income and operating surplus. Size and Shape has been the quantitative planning framework used by the College, which laid out at a high level a plausible 'central case' for how King's would look as a university in 2029, in terms of student intake, staff numbers, disciplinary mix, cost, quality and outputs. The central case sought to optimise outcomes for King's within the constraints of the funding model that it operates within. As an exercise it emphasised the significant impact of inflation and the economics of our different activities. It is planned to update the central case regularly and a stocktake of the framework was first undertaken in 2020. This highlighted where progress had been made and where the stubborn issues were located. The central case was not updated at that point, since there were too many unknowns in the system, including government intentions around funding for research and the approach to undergraduate home fees. The conversation with ARCC was to provide assurance to members about how the Executive were looking at this. In relation to this, four key points were highlighted:

1. Whilst the university undertakes a slight changeover in its strategy cycle, it is important to articulate why King's needs the headspace to invest.
2. There is an enhanced sense of potential from the Covid period and an ability to drive change. Some new ways of thinking about things are emerging in the university and there is a new confidence.
3. Roles and responsibilities are becoming clearer and performance management is becoming more systematized.
4. It is becoming clearer that financial sustainability and the need to invest in the refresh is central to the success of the strategy. There needs to be clarity around how we fund the new strategy.

It was also noted that there are some key challenges, of which the greatest is the inherent complexity of university funding. The Vice President (Finance) commented that it was important to have the conversation about financing the strategy up front. In particular, it would be important for the Deans to understand what the university had considered important to invest in for growth and for them to maintain the momentum through the programme. There was an expectation that the base case would be finalised in the next few weeks, but it had to gain traction over a longer period to be successful. It is likely to take over a year to embed properly, and the university will be looking to have enough in the base case to provide innovation to motivate staff to perform their high-quality research and teaching.

The Principal observed that the College must be cautious moving forward. He noted that the aim when Size and Shape was first conceived was to reach the optimum with a surplus for 6% in hand for investment. The College

has reached its size objectives with only 2.7% surplus in hand. This illustrated the size of the challenge and meeting it would not be straightforward.

Members asked how much downside modelling had been done. It was noted that a number of challenges were raised in the five-year planning process and a baseline is set every year to cover inflation. Last year the Executive had undertaken a deeper analysis and identified a number of areas of potential. It was noted that the resource allocation model is not currently as robust as it should be at the top level, largely because there is a great reliance on the Business School to generate margin whilst some faculties have historic deficits and inherent challenges to creating a surplus.

The Chair noted that it would be important to make sure that all the different governance committees were aligned and consistent in what they were considering around the strategy and creating the financial headroom to ensure the appropriate investments could be made.

Financial Sustainability (***minute***) – See **Annex 7.**

Letter of Management Representation to KPMG

Chairman of Council
The Rt Hon the Lord Geidt
GCB GCVO OBE QSO FKC

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Strand
London WC2R 2LS
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KPMG LLP
15 Canada Square
London
E14 5GL

23 November 2021

Dear Sirs

This representation letter is provided in connection with your audit of the Group and University financial statements of King's College London ("the University"), for the year ended 31 July 2021, for the purpose of expressing an opinion:

    i.   as to whether these financial statements give a true and fair view of the state of the Group and University's affairs as at year end and of the Group's and University's income and expenditure, gains and losses, changes in reserves and Group cash flows for the year then ended; and

    ii.   whether these financial statements have been properly prepared in accordance with UK Accounting Standards (including FRS 102 The Financial Reporting Standard applicable in the UK and Republic of Ireland ("FRS 102")).

These financial statements comprise the Group and University Balance Sheets, the Group and University's Statement of Comprehensive Income, the Group and University's Statements of Changes in Reserves, the Group Statement of Cash Flows and notes, comprising a summary of significant accounting policies and other explanatory notes.

The Council confirms that the University meets the definition of a qualifying entity and meets the criteria for applying the disclosure exemptions with FRS 102.

The Council confirms that the representations it makes in this letter are in accordance with the definitions set out in the Appendix to this letter.

The Council confirms that, to the best of its knowledge and belief, having made such inquiries as it considered necessary for the purpose of appropriately informing itself:

Financial statements
1.   The Council has fulfilled its responsibilities, as set out in the terms of the audit engagement dated 19 September 2018, for the preparation of financial statements that:

    i.   give a true and fair view of the state of the Group's and of the University's affairs as at 31 July 2021, and of the Group's and of the University's income and expenditure, gains and losses and changes in reserves, and of the Group's cash flows, for the year then ended;

    ii.   have been properly prepared in accordance with UK Generally Accepted Accounting Practice (including FRS 102); and

     iii.   meet the requirements of the Accounts Direction dated 25 October 2019 issued by the Office for Students.

The financial statements have been prepared on a going concern basis.

2. The methods, the data and the significant assumptions used in making accounting estimates and their related disclosures are appropriate to achieve recognition, measurement or disclosure that is reasonable in the context of the applicable financial reporting framework.

3. All events subsequent to the date of the financial statements and for which section 32 of FRS 102 requires adjustment or disclosure have been adjusted or disclosed.

4. The effects of uncorrected misstatements are immaterial, both individually and in aggregate, to the financial statements as a whole.

Information provided

5. The Council has provided you with:

- access to all information of which it is aware, that is relevant to the preparation of the financial statements, such as records, documentation and other matters;

- additional information that you have requested from the Council for the purpose of the audit; and

- unrestricted access to persons within the Group and the University from whom you determined it necessary to obtain audit evidence.

6. All transactions have been recorded in the accounting records and are reflected in the financial statements.

7. The Council confirms the following:

i)   The Council has disclosed to you the results of its assessment of the risk that the financial statements may be materially misstated as a result of fraud.

Included in the Appendix to this letter are the definitions of fraud, including misstatements arising from fraudulent financial reporting and from misappropriation of assets.

ii)   The Council has disclosed to you all information in relation to:

a) Fraud or suspected fraud that it is aware of and that affects the Group and the University and involves:

- management;

- employees who have significant roles in internal control; or

- others where the fraud could have a material effect on the financial statements; and

b) allegations of fraud, or suspected fraud, affecting the Group and the University's financial statements communicated by employees, former employees, analysts, regulators or others.

In respect of the above, the Council acknowledges its responsibility for such internal control as it determines necessary for the preparation of financial statements that are free from material misstatement, whether due to fraud or error. In particular, the Council acknowledges its responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud and error.

8. The Council has disclosed to you all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.

9. The Council has disclosed to you and has appropriately accounted for and/or disclosed in the financial statements, in accordance with section 21 of FRS 102 all known actual or possible litigation and claims whose effects should be considered when preparing the financial statements.

10. The Council has disclosed to you the identity of the Group and the University's related parties and all the related party relationships and transactions of which it is aware. All related party relationships and transactions have been appropriately accounted for and disclosed in accordance with section 33 of FRS 102.

Included in the Appendix to this letter are the definitions of both a related party and a related party transaction as we understand them and as defined in FRS 102.

11. The Council confirms that:

    a) The financial statements disclose all of the key risk factors, assumptions made and uncertainties surrounding the University's and the Group's ability to continue as a going concern as required to provide a true and fair view and to comply with FRS 102.

    b) No material events or conditions exist that may cast significant doubt on the ability of the University and the Group to continue as a going concern.

12. On the basis of the process established by the Council and having made appropriate enquiries, the Council is satisfied that the actuarial assumptions underlying the valuation of defined benefit obligations are consistent with its knowledge of the business and in accordance with the requirements of section 28 of FRS 102.

    The Council further confirms that:
    a) all significant retirement benefits, including any arrangements that are:
        •   statutory, contractual or implicit in the employer's actions;
        •   arise in the UK and the Republic of Ireland or overseas;
        •   funded or unfunded; and
        •   approved or unapproved,
        have been identified and properly accounted for; and

    b) all plan amendments, curtailments and settlements have been identified and properly accounted for.

13. To the best of our knowledge and belief the University has complied with the requirements of the Charities Act 2011. In particular, the University has disclosed all payments made in relation to trustees expenses and all "connected institutions and bodies" have been disclosed appropriately. Furthermore, all serious incidents, as defined under the Act, have been captured and recorded appropriately.

14. The Council are not aware of any issues relating to the University's other Office for Students or Research England funding streams (e.g. Higher Education Innovation Fund grants) which may lead to a clawback in funding over and above that recognised in the financial statements.

15. To the best of our knowledge and belief the University has complied with the terms and conditions of any capital grant funding received during the year and in respect of other capital grant funding received in prior years. In all instances, the University is satisfied that the agreed outputs against which each project will be assessed will be delivered.

16. to the best of our knowledge and belief the University has complied with the terms and conditions of any revenue grant funding (for example research funding) received in recent years and where agreed outputs are to be delivered as part of the grant agreement, the University has or anticipates delivering these.

17. In all material respects, funds from whatever source administered by the Group and the University for specific purposes have been applied to those purposes during the year ended 31 July 2021.To the best of our knowledge and belief the University has complied with the Office for Students (OfS) guidance for access and participation spend and any spend classified as access and participation spend is in accordance with this guidance.

18. The Council confirms that costs or credits attributable to the agreement of a deficit recovery plan for the Universities Superannuation Scheme (USS) are calculated using assumptions that are consistent with its knowledge of the business. In particular, the Council confirms that the assumptions for assumed salary

inflation in each year during the life of the plan and assumed USS membership changes during the life of the plan are consistent with the University's projected employee population profile.

19. We are of the opinion that the land and buildings included within tangible fixed assets have been valued appropriately in accordance with the requirements of FRS 102, and to the best of our knowledge and belief we are satisfied that no impairment provision is necessary in respect of the University's estate.

20. There are no issues arising from the finalisation of student data for the year ending 31 July 2021 which has been used to produce the University's 2021 HESA return/re-creation of HESES19 which would have a material impact on teaching funding from the Office for Students or English undergraduate fee income recognised in the financial statements.

21. In all material respects the University has complied with the Office for Students and Research England terms and conditions of funding in the period from 1 August 2020 to 31 July 2021.

22. To the best of its knowledge and belief the University has disclosed details of all heritage assets in accordance with Section 34 of FRS 102. It confirms that all donated heritage assets have been valued appropriately in accordance with the requirements of Section 34.

23. All payments made from endowment funds have been made in accordance with the terms of the funds to which they relate

24. In our opinion, all investment properties have been valued appropriately in accordance with the requirements of FRS 102 and the carrying value is appropriate based upon professional advice, current usage and plans for future usage of these premises.

25. There are no other factors affecting the valuation of investment properties that need to be reflected in the accounts to 31 July 2021 other than as disclosed to you.

26. There are no formal or informal compensating balance arrangements with any of our cash and investment accounts.

This letter was tabled and agreed at the meeting of the Council on 23 November 2021.

Yours faithfully,

[Chairman]

[Secretary]

cc: Audit, Risk and Compliance Committee

Appendix to the Council Representation Letter of King's College London: Definitions

Criteria for applying the disclosure exemptions within FRS 102 for the University's financial statements
- The University discloses in the notes to its financial statements:
  a) A brief narrative summary of the disclosure exemptions adopted; and
  b) The name of the parent of the group in whose consolidated financial statements its financial statements are consolidated, and from where those financial statements may be obtained

Financial Statements

A complete set of financial statements (before taking advantage of any of the FRS 102 exemptions) comprises:

- Group and University Balance Sheets as at the end of the period;
- a Group and University's Statement of Comprehensive Income for the period;
- a Group and University's Statements of changes in reserves for the period;
- a Group Cash Flow Statement for the period
- notes, comprising a summary of significant accounting policies and other explanatory information.

FRS 102 permits an entity either to present (i) separately a Profit and Loss account and a Statement of Other Comprehensive Income or (ii) a combined Profit and Loss Account and Other Comprehensive Income.

Material Matters

Certain representations in this letter are described as being limited to matters that are material.

FRS 102 states that:

Omissions or misstatements of items are material if they could, individually or collectively, influence the economic decisions of users taken on the basis of the financial statements. Materiality depends on the size and nature of the omission or misstatement judged in the surrounding circumstances. The size or nature of the item, or combination of both, could be the determining factor.

Fraud

Fraudulent financial reporting involves intentional misstatements including omissions of amounts or disclosures in financial statements to deceive financial statement users.

Misappropriation of assets involves the theft of an entity's assets. It is often accompanied by false or misleading records or documents in order to conceal the fact that the assets are missing or have been pledged without proper authorisation.

Error

An error is an unintentional misstatement in financial statements, including the omission of an amount or a disclosure.

Prior period errors are omissions from, and misstatements in, the entity's financial statements for one or more prior periods arising from a failure to use, or misuse of, reliable information that:

  a) was available when financial statements for those periods were authorised for issue; and
  b) could reasonably be expected to have been obtained and taken into account in the preparation and presentation of those financial statements.

Such errors include the effects of mathematical mistakes, mistakes in applying accounting policies, oversights or misinterpretations of facts, and fraud.

Management

For the purposes of this letter, references to "management" should be read as "management and, where appropriate, those charged with governance".

Qualifying Entity

A member of a group where the parent of that group prepares publicly available consolidated financial statements which are intended to give a true and fair view (of the assets, liabilities, financial position and profit or loss) and that member is included in the consolidation by means of full consolidation.

Related Party and Related Party Transaction

Related party:

A related party is a person or entity that is related to the entity that is preparing its financial statements (referred to in FRS 102 as the "reporting entity").

a) A person or a close member of that person's family is related to a reporting entity if that person:

   i. has control or joint control over the reporting entity;

   ii. has significant influence over the reporting entity; or

   iii. is a member of the key management personnel of the reporting entity or of a parent of the reporting entity.

b) An entity is related to a reporting entity if any of the following conditions apply:

   i. The entity and the reporting entity are members of the same group (which means that each parent, subsidiary and fellow subsidiary is related to the others).

   ii. One entity is an associate or joint venture of the other entity (or an associate or joint venture of a member of a group of which the other entity is a member).

   iii. Both entities are joint ventures of the same third party.

   iv. One entity is a joint venture of a third entity and the other entity is an associate of the third entity.

   v. The entity is a post-employment benefit plan for the benefit of employees of either the reporting entity or an entity related to the reporting entity. If the reporting entity is itself such a plan, the sponsoring employers are also related to the reporting entity.

   vi. The entity is controlled, or jointly controlled by a person identified in (a).

   vii. A person identified in (a)(i) has significant influence over the entity or is a member of the key management personnel of the entity (or of a parent of the entity).

   viii. The entity, or any member of a group of which it is a part, provides key management personnel services to the reporting entity or to the parent of the reporting entity.

Related party transaction:

A transfer of resources, services or obligations between a reporting entity and a related party, regardless of whether a price is charged.

Section 1: King's College London Prevent Duty Report 2020/21

The Students & Education Directorate, as the professional services directorate with accountability for the university's compliance with the Prevent Duty, is confident that King's demonstrates a due regard for the Duty, which applies to the governing bodies or proprietors of 'relevant higher education bodies' (RHEBs).

In July 2020, the OfS requested that the College undertake two additional actions as a result of updates to College policies. The two actions were to confirm that "risk of radicalisation" was a listed cause for concern on the Student of Concern (SOC) Procedure web-based form, and to conduct a review of the Appeal/Complaints Process for the Room Bookings: External Speaker Policy to remove the possibility of a conflict of interest arising. The College responded to the OfS in October 2020 to confirm that the "risk of radicalisation" was a listed cause for concern on the SOC form, and that an external speaker appeals process had been drafted, which removed any possibility of a conflict of interests. The 2019/20 Accountability Statement and Data Return was submitted in November 2020. In May 2021, the interim Principal & President and Provost received notification from the OfS that the university was judged as having demonstrated a due regard for the Prevent Duty during 2019/20 following the material change in circumstances.

The information below sets out the university's Prevent Duty activity in 2020/21.

Management and Governance

The Academic Regulation, Policy and Compliance (ARPC) team maintains oversight of the university's Prevent Duty obligations and monitors the Prevent Duty Risk Assessment and Action Plan, organises staff training, and ensures policies and processes are updated accordingly. The SED Compliance Manager is the officer for the Safeguarding Steering Group and the Safeguarding Oversight Group, which support Prevent Duty activity. The ARPC team also submit termly updates to the Director of Business Assurance.

The Safeguarding Steering Group continues to meet twice a year and oversees compliance activity with the Prevent Duty, including the approval of updated policies and annual review of the Prevent Duty Risk Assessment and Action Plan. The KCLSU President (2020/21) engaged with the Steering Group throughout the 2020/21 academic year.

The Safeguarding Oversight Group continues to meet every two months and monitors operational aspects of delivering the Prevent Duty as well as wider Safeguarding activities at the College. The KCLSU Vice President for Welfare and Community, (2020/21) and the KCLSU Head of Advice engaged with the Oversight Group throughout the 2020/21 academic year. The Prevent Lead continues to meet with the KCLSU sabbatical officers as part of their role as the Executive Director of Students & Education. The Prevent Duty and our approach to compliance is discussed as and when necessary.

In September 2020, a guidance note on what constitutes a material incident/reportable event and who needs to be informed was shared with individuals in areas key for delivering our due regard to the Prevent Duty (Student Support & Wellbeing Services; Estates & Facilities; Human Resources; IT; RMID).

Following on from the revision of the external webpage content relating to the Prevent Duty in 2019/20, internal webpages on Safeguarding and the Prevent Duty were created in 2020/21; these were promoted to all staff in King's SWAY and King's Essentials.

Relationship with local partners

In September 2020, the Department for Education (DfE) Regional Prevent Coordinator delivered a training session to a variety of senior staff members at the University, including the Duty Deans, and members of

the Senior Management Team (SMT), College Education Committee (CEC) and the Freedom of Expression Standing Advisory Group (FESAG). Regular contact is maintained with the DfE Regional Coordinator who provides advice on approaches to delivering the Duty and any concerns that have emerged.

The co-chairs of the Safeguarding Oversight Group, the Head of Academic Policy and the Compliance Manager have attended a number of DfE and local authority network and forum events throughout 2020/21, including the HE London Network events, the Westminster Local Authority FE/HE Prevent Forum, and the Lambeth/Southwark FE/HE Prevent Forum. The Head of Academic Policy is a HE representative on the Lambeth Prevent Advisory Group and attended a meeting in June 2021.

Members of Advice and Guidance and ARPC, including the Associate Director, Head of Academic Policy, and Compliance Manager, attended DfE specialist training sessions and the Lambeth Prevent Webinar series for further information and additional context for different groups and activity. This included training on:

- Incels
- Humour, Irony & the Far Right
- Online Extremism and Online Gaming, Message Boards & Apps
- Conspiracy Theories and Extremist Narratives

The DfE hosted a briefing session on the Counter Terrorism Local Profile summary with SO15 in June 2021 and this was attended by the Head of Academic Policy. Areas of focus for London are Extreme Right-Wing Terrorism; Incel Ideology; Islamist Extremism; Mixed, Unclear, Unstable and Conflicted Ideologies; and Conspiracy Theories targeting particular groups of people. The use of social media and online activity to influence was reiterated and it was noted that signs, symbols, and coded language are also becoming more prevalent.

On review of the information shared, it was agreed that briefing documents on Incel language and signs and symbols relating to extremism would be produced by the Compliance Manager. The latter document will include guidance on how to report any harmful content seen on campus and the surrounding areas of the university to the local authority, who will remove it within 24 hours. These briefing documents are to be circulated to key staff, including Cleaning and Security Services, Residences, Safeguarding Officers, Student Conduct and Appeals, at the start of the 2021/22 academic year.

The Prevent Duty Risk Assessment and Action Plan is monitored by ARPC and reviewed annually by the Safeguarding Oversight and Steering Groups. Information on the Counter Terrorism Local Profile summary is built into the risk assessment, informing the College's action plan to ensure appropriate mitigations are in place; in 2020/21, a greater focus on harmful influences online, the use of non-mainstream platforms and different ideologies was built into training. The review of the risk assessment has been informed by the Office for Students webinar on Prevent Duty Risk Assessments.

Welfare

The SOC Procedure continues to be the single point of referral for members of the university community to raise safeguarding and serious welfare concerns about any of our students, including those students who might be at risk of radicalisation. The aim is to provide consistency in how students are supported, a robust process for identifying students at risk, and support delivered in a timely fashion. The procedure is now fully online, and a rota system is in place to ensure it is constantly monitored and referrals are assigned to the appropriate caseworker. Support for students referred is coordinated by the SOC Management Group, which brings together staff from multi-disciplinary backgrounds. SOC reports are submitted to the Safeguarding Oversight Group regularly.

In addition to this, the university provides a numbers of specialist support services within our Division of Student Support & Wellbeing Services, these include Counselling & Mental Health support, Disability support, Money & Housing advice and International Student support. A new Wellbeing and Welfare Team

was introduced in July 2021 to assist in providing focused support across faculties to key student groups, which include students under the age of 18; parents, carers and those who are care experienced; those considering or returning from an interruption of study; estranged students and forced migrants; and those who are self-isolating or quarantining.

The College received **1010** referrals through SOC for the 2020/21 academic year - an increase of 40.5% on the 719 referrals received in the previous year. In 2020/21, 62.2% of the SOC referrals related to concerns about mental ill-health with the remaining 37.8% being on a range of safeguarding concerns including being a victim of violence, harassment, and homelessness. We received **five** referrals that related to our Prevent Duty. The SOC Management Group assessed the referrals received and deemed that whilst two students were not at risk of radicalisation, further support was needed for other vulnerabilities. The SOC Management Group referred three of the five students to our DfE Regional Prevent Coordinator for further advice. The concerns related to Islamist radicalisation, extreme right-wing radicalisation, and mixed, unstable or unclear ideology. The origins of concern for the three students were as follows:

1. Direct contact was made by a Prevent partner in a Local Authority as the result of a welfare concern for.

2. Material accessed online as part of an assessment.

3. Behaviour online and the sharing of emails containing concerning content.

For two of the students, the College was advised to support broader vulnerabilities using our Student Support & Wellbeing Services. The other student was formally referred to Channel by the local authority and the College is currently involved in supporting this student, with guidance from the DfE Regional Prevent Coordinator. The Lead Safeguarding Officer (Enrolled Students) is a member of the Channel panel.

For any concern relating to a staff member being drawn into terrorism, the concern should be raised with the Lead Safeguarding Officer (staff) in the first instance. The university has not received any referrals relating to staff or visitors during 2020/21.

Training

Face to Face

Staff training was reviewed in August 2020 and updated for 2020/21 to include a greater focus on harmful influences online, the use of non-mainstream platforms and extreme right-wing ideologies. A behaviour barometer provided by the DfE and video content on Prevent produced by the Home Office was incorporated, as was information on how to report terrorist-related content to the Counter-Terrorism Police via the web or the newly developed iREPORTit app.

113 members of staff received face to face training via Microsoft Teams on Safeguarding and Prevent. This included:

- **37 staff members who sit on the Senior Management Team, the Freedom of Expression Advisory Group, and/or act as Duty Deans**. This session was led by the DfE Regional Prevent Coordinator and was rescheduled from the 2019/20 academic year due to Covid-19 disruption.

- **10 Designated Safeguarding Officers.** These roles were newly created for 2020/21 following a review of the Safeguarding Officer structure. Following the initial training, five Designated Safeguarding Officer Forum sessions were held throughout the year.

- **23 Residences Welfare Leads**

- **15 members of the Chaplaincy**

- **22 Senior Tutors**

- **6 members of the Student Education Directorate** attended sessions run by the DfE Regional Prevent Coordinator. This included team members from ARPC, who maintain oversight of the university's compliance with the Prevent Duty, and members from Student Support & Wellbeing Services, who assist in the management of the SOC process.

E-learning

An e-learning module entitled 'Safeguarding at King's' was produced at the start of the 2019/20 academic session; this includes a section on the Prevent Duty and the university's Student of Concern Procedure. Access to this module has been granted to key staff, including safeguarding officer role holders and personal tutors, as well as on request. A full staff pilot was not undertaken in 2020/21 due to the pandemic and resource required for business-critical activity. Nevertheless, arrangements have been made for the e-module to form part of the annual induction training for all King's Foundations staff in 2021/22. A wider roll-out and communications plan to encourage uptake are to be developed by the new Compliance Manager in 2021/22.

In the period between 1 August 2020 and 31 July 2021**, 74** staff members completed the module and passed the end of module assessment. **17** members of staff began the e-module but are yet to complete. Positive feedback on the e-module has been received.

Broader welfare and safeguarding awareness training

Broader welfare and safeguarding awareness training is delivered by the Widening Participation department at the start of each academic year, and all **26** departmental staff members attend this.

External Speakers

The process for dealing with External Speakers remains robust. The university continues to work in collaboration with the Students' Union for events with external speakers. FESAG monitors external speaker risk assessments and identifies any high-risk events that need further mitigations. FESAG membership includes both university staff and members of KCLSU.

Previously, separate risk assessments were completed by the College and KCLSU. FESAG have been working towards the adoption of a single risk assessment process to streamline the approval of external speakers and avoid any duplication of activity. The joint risk assessment was introduced in 2020/21, unifying the contents of both the university and KCLSU risk assessments, and requiring minimal changes to processes.

In 2020/21, all events took place online and there were no student events on campus. Feedback from KCLSU at the start of the academic year, suggested that there was potentially a lack of clarity amongst the student body about whether the external speaker policies needed to be followed for online events. The KCL Room Bookings: External Speaker Policy was renamed as the KCL External Speaker Policy, and minor updates were made to this policy, the KCLSU External Speaker Policy and to KCLSU webpages to clarify that the policies apply to all external speaker events including those held virtually. FESAG and KCLSU took steps to encourage students to continue with the process outlined in the policies as normal and enhanced messaging around this. Reassurances were provided by the KCLSU President that should it be established that the external speaker processes have not been adhered to, it would be considered under KCLSU disciplinary procedures.

158 events involving external speakers were dual risk assessed by King's Venues and KCLSU in 2020/21**. 5 events** were referred to and approved by FESAG with mitigations; however, none of these related to the Prevent Duty. **No events were rejected during 2020/21.**

One complaint was received during the year, from the Sri Lankan High Commission, who in December 2020 complained about student society involvement in a British Tamil Youth Commemorative event. The complaint was investigated and deemed to be without merit.

As noted above, the external speaker appeals process was reviewed following the OfS's recommendation. The revised process was submitted in October 2020 and the OfS confirmed in May 2021 that the College had demonstrated due regard of the Duty following this change. The appeals process has been attached to the External Speaker Policy and is available on the Governance Zone.

IT and Research

The IT Acceptable Use Policy includes a statement on the university's Prevent Duty can be found in the policy introduction.

A guidance note on what constitutes a material incident/reportable event under the Prevent Duty, and who needs to be informed, has been shared with members of IT and RMID. Guidance was reissued to IT helpdesk staff in Autumn 2020 to clarify that any Security Sensitive Research should be conducted using a King's device rather than on personal devices. IT staff that answer queries about this through 8888 have been advised to direct the student/staff member to Research Governance for further advice about their research, including any mitigations or support that may be required. The IT Directorate continues to monitor for incidents or procedural issues; there were no incidents in 2020/21. Following the move to online teaching and delivery in 2019/20, general guidance was developed for students on how to stay safe online throughout their studies and continues to be available to students

The university's approach to approving, supporting and managing security-sensitive research is under review and is to be incorporated into a Security Sensitive Research Policy. The policy, along with the updated process document and the principles to allow local management in SSPP, were approved by the College Research Committee in December 2020. The outstanding item remains the change to IT policy. The Director of Research Governance, Ethics & Integrity and the Director of IT Services have been working together to identify a suitable environment to house security sensitive data securely and to enable IT to confidently change their policy. It has been confirmed that the platform AZURE will be utilised. Progress has been slow due to the disruption caused by the Covid-19 pandemic. Registration and governance processes are to be implemented as a priority for early 2021/22. It has been confirmed that the main areas accessing this type of data (SSPP) are doing so with appropriate local oversight and risks are being mitigated.

Section 2: Data Return 2020/21 (to be submitted to the Office for Students)

Welfare					
Question	Islamist radicalisation	Extreme right-wing radicalisation	Mixed, unstable or unclear ideology	Other radicalisation	Total
a) Number of Prevent-related cases escalated to the point at which the Prevent lead has become involved	1	1	1		3
b) Number of Prevent-related cases which led to informal external advice being sought from Prevent partners	1	1	1		3
c) Number of formal external Prevent referrals	0	0	0		0

For each Prevent-related case, please add information about how the case originated (e.g., concerns identified from behaviour online, or through accessing material online, through external speakers or as a result of a welfare issue). Maximum 300 words.

The Student of Concern (SOC) Procedure is the single point of referral for members of the university community to raise safeguarding and serious welfare concerns about any of our students, including those students who might be at risk of radicalisation. The aim is to have a robust process for identifying students at risk and providing timely and consistent support. Referrals can be made by staff, other students, third parties, or students themselves. The procedure is fully online, and support is coordinated by the SOC Management Group, which brings together staff from multi-disciplinary backgrounds.

The College received **five** SOC referrals that related to risk of radicalisation. The SOC Management Group assessed the referrals received and deemed that whilst two students were not at risk of radicalisation, further support was needed for other vulnerabilities. The origins of concern for the three other students were as follows:

1. Direct contact was made by a Prevent partner in a Local Authority as the result of a welfare concern.

2. Material accessed online as part of an assessment.

3. Behaviour online and the sharing of emails containing concerning content.

The SOC Management Group referred the three students to our DfE Regional Prevent Coordinator for advice. For two of the students, the College was advised to support broader vulnerabilities using our Student Support & Wellbeing Services. The other student was formally referred to Channel by the local authority and the College is currently involved in supporting this student, with guidance from the DfE Regional Prevent Coordinator. The Lead Safeguarding Officer (Enrolled Students) is a member of the Channel panel.

The university has not received any referrals relating to staff or visitors during 2020/21.

Events and Speakers Approved	
Dataset	
a) Total number of events or speakers approved through the external speakers process	158
b) Total number of events or speakers approved subject to any mitigations or conditions	5
c) Number of events or speakers approved subject to any mitigations or conditions due to Prevent-related risk	0

Events and Speakers Rejected					
Dataset	Health & Safety	Procedural Matters	Reasons related to Prevent risk	Other Matters	Total
d) Total number of events or speakers rejected	0	0	0	0	0
For each case, please add information about the reasons for rejection where that rejection was for reasons related to Prevent risk. Maximum 300 words.					

The process for dealing with External Speakers remains robust and the university continues to have oversight of student activity that involves external speakers coming onto campus. The joint KCL/KCLSU Freedom of Expression Standing Advisory Group (FESAG) continues to review external speaker requests, conduct risk assessments, and propose mitigations as appropriate.

In 2020/21, all events took place online and there were no student events on campus. In light of this, the KCL Room Bookings: External Speaker Policy was renamed as the KCL External Speaker Policy, and minor updates were made to this policy, the KCLSU External Speaker Policy and to KCLSU webpages to clarify that the policies apply to all external speaker events including those held virtually. The external speaker appeals process was reviewed following the OfS's recommendation, and the revised process was submitted to the Office for Students Prevent team. The appeals process has been attached to the External Speaker Policy and is available on the Governance Zone.

158 events (including 335 individual external speakers) were dual risk assessed by King's Venues and KCLSU in 2020/21**. 5 events** were referred to and approved by FESAG; however, none of these related to the Prevent Duty. **No events were rejected during 2020/21.**

Training	Number
a) Number of staff identified as key in relation to the Prevent Duty	352
b) Number of key staff receiving induction Prevent training	139
c) Number of key staff receiving refresher Prevent training	48
d) Number of staff receiving broader welfare/safeguarding awareness training/briefing	213

Please add any further technical information in the free text box below which you believe would be helpful or relevant for OfS to know regarding Training. (max. 300 words)

Safeguarding and Prevent training was delivered to 187 staff members this year either through a face-to-face session or through an e-module.

113 members of staff received face to face training via Microsoft Teams on Safeguarding and Prevent. This included Designated Safeguarding Officers, Residence Welfare Leads, Senior Tutors, and members of the Chaplaincy, Senior Management Team, the Freedom of Expression Advisory Group.

An e-learning module entitled 'Safeguarding at King's' was produced at the start of the 2019/20 academic session; this includes a section on the Prevent Duty and the university's Student of Concern Procedure as well as wider Safeguarding awareness training. Access to this module has been granted to key staff, including safeguarding officer role holders and personal tutors, as well as on request. A wider roll-out and communications plan for the e-module are to be developed for 2021/22.

In the period between 1 August 2020 and 31 July 2021**, 74** staff members completed the module and passed the end of module assessment. Positive feedback on the e-module has been received and arrangements have been made for the e-module to form part of the annual induction training for one of our departments moving forward.

Broader welfare and safeguarding awareness training is delivered by the Widening Participation department at the start of each academic year, and all **26** departmental staff members attend this.

Section 3: Prevent Declarations 2020/21 (to be submitted to the Office for Students)

As Chair of Council, I can confirm, on behalf of King's College London, that, throughout the academic year and up to the date of approval, King's College London:

- has had due regard to the need to prevent people from being drawn into terrorism (the Prevent Duty);

- has provided OfS all required information about its implementation of the Prevent Duty;

- and has reported to OfS all serious issues related to the Prevent Duty in a timely way.

Name	[Enter name of Chair of governing body/proprietor]
Signed	[Paste electronic signature or sign here]
Date	[Enter date signed]

Appendix 1: Prompts when considering the declarations

While it is for each provider to determine how best they assure themselves that their institution has demonstrated due regard to the Prevent duty and they are able to sign the declarations to OfS satisfactorily, the prompts below may guide how governing bodies and proprietors can gain the necessary assurance.

- How have Prevent-related policies or processes been monitored e.g., relating to external speakers, welfare or safeguarding processes, and is there assurance that they are effective?

- Have you been provided with appropriate information and evidence that the provider is demonstrating due regard through relevant reports, updates etc.?

- Have staff assured you that the risk assessment has been reviewed in the past 12 months, and outlined any material changes of risk (and mitigations in response)?

- Have staff reported any serious incidents; and if so, have you been assured by how the provider has acted, including responses to any lessons learned? Equally, have you been notified of any near misses, and again, been assured that any lessons learned have been acted upon?

- Have you been assured that Prevent has been implemented in a proportionate and risk-based manner, including considering the duty alongside other statutory obligations e.g., freedom of speech?

- Is there visible and demonstrable ownership of Prevent at a senior level at the provider?

- Are you assured that staff have received sufficient training and awareness raising to implement Prevent effectively?

- Has the provider continued to work in partnership with its Prevent partners, including statutory agencies and students?

Further information and advice available from:

Prevent duty: Framework for monitoring in higher education in England 2018-19 onwards:

https://www.officeforstudents.org.uk/media/3e9aa5d3-21de-4b24-ac21-18de19b041dc/ofs2018_35.pdf

Supplementary information note to our monitoring framework:
https://www.officeforstudents.org.uk/media/19b94eed-d2ad-4a9b-bb92-ee0b410a1f1f/ofs2018_35_a.pdf

Committee of University Chairs illustrative practice note on Prevent:
https://www.universitychairs.ac.uk/wp-content/uploads/2017/12/Illustative-Practice-Note-2-Prevent-Stratergy-REVISIED-2017.pdf

Annual Statement on Research Integrity

King's College London's Research Integrity Statement, 2020-2021[1]

Introduction

As a world-leading, research-intensive institution, King's College London is committed to ensuring that the research conducted by our staff and students is consistently of the highest quality and conforms to the most rigorous standards. The proper conduct of research requires all our researchers to uphold certain principles and professional responsibilities to ensure integrity in the work they do. This is important to instil confidence in academic communities, funding bodies, and the public that the data, findings, and results produced by our researchers are reliable and trustworthy. The Research Integrity Office (RIO) is committed to the promotion of good conduct and integrity in research and to supporting the university's research community through the provision of training and guidance, as well as the development of policies and procedures, in order to safeguard public trust in all King's research. We expect that all research undertaken at King's is conducted with the core values of research integrity in mind, to produce research of the highest standard. The principles of honesty, rigour, transparency and open communication, care and respect, and accountability are key to maintaining research integrity at King's.

This statement on research integrity at King's College London relates to the period September 2020 to August 2021 and has been drafted to fulfil our obligation to commitment 5 of the Concordat to Support Research Integrity, of which we are a signatory. Many of the actions and activities undertaken to support and strengthen an understanding and the application of research integrity issues reported in this statement relate specifically to the work of the Research Integrity Office and, where relevant, the wider team of Research Governance, Ethics and Integrity (RGEI). Through our local partnerships, we are aware that many other areas of the College have embedded research integrity within their practices or culture. For the purposes of this year's statement, we have only captured select initiatives to highlight the range of activities evident. Over the next academic year, we will adopt a more systematic approach for reporting to ensure an accurate reflection of the full range of activities that promote and embed research integrity across the College.

Resource

In support of KCL's commitment to the Concordat and the principles of research integrity, RGEI has been successful in recruiting to new roles. Of particular relevance, the role of Research Integrity Manager was split in December 2020, giving the incumbent responsibility for the Arts & Sciences faculties and a new appointee responsibility for the Health Faculties. A new Research Integrity Officer was appointed in November 2020. Since 1 August 2020, the Dean of Research Governance, Ethics and Integrity role has been incorporated with a newly created Dean of Research Culture post, further reflecting the College's commitment to improving the wider research environment.

Website

Our external webpages provide enhanced visibility for our three teams and set out clearly the College's expectations of researchers, signalling how to find guidance and support. The research integrity landing page provides the framework within which we expect all research at King's to be conducted, aligning this with other national initiatives, including more recently our Commitment to Fair and Responsible Research Assessment.

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[1] Presented to the College Research Committee on 18.08.2021 with recommendations for amendments made as requested. Updated version to be presented to the Audit, Risk and Compliance Committee on 09.11.2021.

Local Engagement

Matters of research integrity are the primary responsibility of the Research Integrity Office (RIO) at King's College London but research integrity is integral to all those involved in the research landscape. In response to this and to support proper advocacy of the principles of research integrity within our nine faculties, RIO created a network of Research Integrity Champions (RICHs) in September 2019 who meet every two months at the RICh Forum. Terms of Reference for the RICh Forum were approved in May 2021 and these are publicly available.

Since the position of a Research Integrity Champion is a senior one, RIO developed the faculty framework to include Research Integrity Advisors (RIAds). This faculty framework is in recognition of the stronger connection felt by researchers to their local environment, in contrast to any institutional bonds which are often seen as weaker, sentiments that were echoed in VITAE's June 2020 publication *Research Integrity: a Landscape Study*. Originally individuals were due to be in post from April 2020 but demands on academic staff as a result of the coronavirus pandemic resulted in the rollout of this initiative from September 2020. By December 2020, RIAds had been appointed in eight faculties through a nominations and approvals process to ensure appropriate oversight of this system (by both faculty and RIO leadership), designed to enable every research-active member of staff of the university to have access to an individual cognisant of research integrity matters. Information about our Champions and Advisors are available on our external webpages, with full details of local role-holders accessible internally.

Members of the Research Integrity Office have met with each RIAd, both individually and collectively within faculty groups. These meetings have been integral to establishing strategic action plans, appropriate to the local cultures and disciplines within each faculty. To support them in their role, all RIAds are invited to a focused training session led by the RIO (a refresher session is offered annually) and are provided with a bespoke interactive resources pack.

RIO continues to communicate more broadly with our network of researchers through our newsletter, which promotes and raises awareness of internal and external developments and initiatives across the three areas of research ethics, governance, and integrity. To enable a more targeted approach, RIO also liaises directly with faculty communications teams for wider dissemination of our activities and we have created a comms pack to support this. Research integrity is now included in the School of Education, Communication and Society (SSPP) research handbook and has a dedicated page on the FoDOCS internal research support pages.

Process Improvement

Over the last academic year, the Department of Research Governance, Ethics and Integrity has made a number of process improvements informed by daily practices and experiences of dealing with research governance, ethics and integrity issues.

Two internal process improvements have resulted in the better management of research integrity. The live tracking platform for all research integrity enquiries and misconduct cases has been updated. The document now captures far more information, thereby facilitating RIO to analyse the data for trends and have a better understanding of issues prevalent at King's. The existing research misconduct case checklist has been expanded, allowing for a higher level of detail to be captured. This will support in those growing instances of particular complexity and also allow any member of RIO to pick up a case midway through.

RIO has also worked with colleagues across the College to ensure input where there are areas of crossover and to ensure better compliance with funder terms and conditions. To support cases which have aspects of research misconduct and bullying or harassment, RIO has drafted a Memorandum of Understanding with HR to reflect the cooperation and liaison that is necessary to handle such instances appropriately. RIO is strengthening its ties with HR and initiated a training session to the HR People Partners in July 2021, outlining at this the agreed process for reporting. In July 2021, the College published a Declaration of

[Interest policy](#) and associated documents, which were drafted by RIO in collaboration with Business Assurance.

The College's online Research Ethics Management Application System (REMAS) has been updated to incorporate the King's Data Protection Register (KDPR). Researchers obtaining ethical clearance through REMAS are now subject to a streamlined process that incorporates both ethical clearance and data protection registration. Previously, the latter required the completion of a separate KDPR registration form after gaining ethical clearance. Housing two processes within one system allows KCL staff and students to complete two key research requirements in one application, saving time and also avoiding any unnecessary duplication. The combined process also allows the level of information required for KDPR registration to be proportionate to the researcher's level of study and the risk level identified for their research.

The College Research Ethics Committee (CREC) introduced a 5 working day expedited review process for COVID-related research at the beginning of the pandemic and continued to be implemented throughout the 2020/21 academic year. It was made available to staff and doctoral projects where researchers could demonstrate that their study had strong public health grounds and was time-critical. This involved a three-step review and ratification process that was designed to remain robust and rigorous whilst adapting to the constantly shifting landscape of the pandemic and research time constraints.

CREC also introduced two new generic Health Faculty Research Ethics Subcommittees (RESCs), which will supersede the current Faculty-/discipline-specific based RESCs. This change will improve the balance of the number of submissions received previously by each of the existing Faculty-specific RESCs, allowing for more consistency in the amount of time allocated to each submission review.

Training
In the past academic year, training in research integrity has continued to be delivered online. Feedback from all sessions given has been used for continual improvement with comments being consistently positive about the quality of content and delivery. In addition to the termly training offered to all via Skills Forge, 'Research Integrity: the fundamentals of research excellence at King's', numbers at which have remained consistent at around 25 attendees, RIO has given more targeted sessions. Across RGEI, a number of independent and joint research governance and research ethics training sessions have also been provided. For all RGEI training, different modes of delivery have been offered to enable maximum flexibility to participants. Sessions have been provided either live over virtual platforms (Zoom and MS Teams) or as pre-recorded, with the option of a follow-up live Q&A session.

RGEI has engaged with a vast number of doctoral students, including those on the LISS, NERC, and MRC DTPs, and the STAI CDT. PGRs were also reached in sessions delivered to cohorts within Cardiovascular & Medical Sciences, the King's Business School, Law, and Politics and Economics. Further training has been given to researchers at various career stages as part of the SSPP Research Café, the Emerging Researchers programme (organised by ASRO), the MSc in International Management (KBS), to the department of Global Health and Social Medicine (SSPP), and to the Cancer Prevention Group. RIO has delivered bespoke training, designed in collaboration with local Research Integrity Advisors, to the HR Management research group in KBS and the department of Physics (NMES). Three focused sessions have been given to various groups within the IoPPN: the Research & Innovation Committee; the department of Basic & Clinical Neuroscience; and Senior THRIVE, aimed at senior academic staff members. A conservative estimate suggests that, collectively, RGEI has reached over 500 individuals through training. The true number is likely to be higher.

To improve coordination of training across the three areas of RGEI, a new [training form](#) has been created. This has enabled the training needs of staff to be identified based on research requirements and offered as appropriate.

Training continues to be offered by other teams and departments across King's, in areas that relate to research integrity. Libraries & Collections organise sessions on research data management, while both the Centre for Research Staff Development (CRSD) and the Centre for Doctoral Studies (CDS) each offer a range of training courses. There is additional faculty-based training in good research practices.

Research Culture

RIO recognises that the integrity of research is impacted by the broader research environment. Members of RIO have engaged in the national conversations on research culture, as well as contributing to the Task & Finish groups as part of the [CRSD's Research Culture Projects for Research Staff](), which were tasked to look more closely at bullying & harassment, career mapping & progression, and reward & recognition. RIO will continue to collaborate with colleagues to harmonise a College-wide approach to research culture.

Internal Audits

Demonstrative of our commitment to ensure compliance with the Concordat to Support Research Integrity, the department of Business Assurance conducted an internal review. In particular, the focus was to ensure that King's could fulfil the mandatory requirements of the Concordat by the deadline given as part of the 12-month implementation following the publication of the revised Concordat in 2019. The outcome of this audit was that King's did meet the mandatory requirements, however an enhanced process for presenting the annual statement to our governing body was recommended and has been implemented.

The Research Governance Office (RGO) has conducted random audits of projects registered through the College's Minimal Ethical Risk Registration Process to ensure they meet the criteria for registration. RGO has also introduced a 'Supervisor breach of good practice process' in parallel to our existing student 'Procedure for research conducted without the appropriate ethical clearance', as a way of alerting supervisors to their inappropriate authorisation of a minimal ethical risk research ethics registration. Members of RGO then engage pro-actively with supervisors deemed to have breached good practice in this way to ensure that they have a clear understanding of how to determine the correct ethical risk level of their student's research, enabling them to follow the correct process in the future.

External Engagement

Collaboration across the sector has continued, despite the challenges of the pandemic. In November 2020, RIO organised an event with the publisher Wiley on the subject of research integrity and open practices from the publisher's perspective, with specific focus on authorship and data sharing. This was held in collaboration with Library Services and IT Assurance. Over 90 colleagues from across all faculties were in attendance, with representation from many of the Research Integrity Advisors as well as other colleagues.

King's remains a subscriber to the UK Research Integrity Office (UKRIO) and members of the Research Integrity Office have continued to attend webinars and roundtable events hosted by UKRIO. RIO has additionally contributed to a consultation process on UKRIO materials, including the revised self-assessment tool for the Concordat (yet to be republished) and a guidance note on research integrity champions (still in consultation phase).

As an institutional member of the UK Reproducibility Network (UKRN), King's has continued to contribute to the national conversation on research improvement. Activity within our local network, led by Alexandra Lautarescu, has included, among other: contributions to the establishment of an Open Research Award scheme within the IoPPN; the RIOT Science Club conference 'Open Research: a vision for the future' attended by over 300 participants; and the creation of an open research calendar in collaboration with external colleagues.

King's is a part of the Russell Group Research Integrity Forum (RGRIF), which last met in November 2019. KCL hosted the subsequent meeting virtually in June 2021 and led an agenda on research culture, research integrity training, an update from UKRI's Integrity Team, and other issues including dealing with

anonymous allegations of research misconduct and recognition for external panel members on research misconduct investigations.

The London Research Integrity Consortium, which was co-founded by King's in June 2020, held its first meeting remotely in October 2020. This was followed by a series of three roundtable events co-chaired by KCL in April, May, and June 2021 to discuss the topics of: barriers to change, developing discipline-specific guidance, and training in research integrity.

The Research Ethics Office continues to act in an advisory capacity to other universities who are in the early stages of establishing an electronic ethical clearance process.

Research Misconduct

The College has a formal [procedure to investigate and resolve allegations of research misconduct](the 'Procedure'). The Procedure should be reviewed every three years. The current version was updated in December 2020 following approval by the Academic Board. It provides an update to the definitions of research misconduct to align our procedure with the revised Concordat to Support Research Integrity. The revisions also include updated URLs and have tightened up the process steps of the Procedure, to provide clarity to all those involved in any investigations.

The Procedure is to be carried out in accordance with the principles of fairness, confidentiality, integrity, prevention of detriment, and balance, and these are defined with Annex 1 of the Procedure. There are appropriate mechanisms and safeguards in place within the Procedure to ensure adherence to these principles and that the process is transparent and robust.

The College makes every effort to meet its obligations to external bodies, including regulatory and professional bodies, regarding the initiation or completion of a formal investigation. To the knowledge of the Research Integrity Office, KCL has met such obligations.

Learnings from formal investigations

The Research Integrity Office intends to update the Procedure further, following consultation with the Research Integrity Champions in 2019/20 over proposals to make the College's response to allegations more proportionate and timelier. The proposals resulted from greater experience and knowledge gained from recent, complex cases. Involvement in recent cases has brought to light further key considerations for our new revised procedure. New clauses will be embedded within the procedure that will allow us to address these complexities, for example how to manage appropriately anonymous allegations of research misconduct, and how to work effectively when legal input is sought from any party.

To support paragraph 6.2 of the Procedure relating to the recording (written and/or audio) of formal meetings held as part of an investigation, a second member of the Research Integrity Office attends any meeting (in addition to the Panel Secretary) to facilitate the sharing of evidence and record keeping.

How does King's create or embed a research environment conducive to reporting misconduct?

Information about the Procedure is available on our [Research Misconduct](webpage, along with advice and support, to all staff, students, and individuals external to the university who wish to raise an issue about the conduct of research undertaken in the College's name.

The process for reporting concerns about research conducted in the College's name is communicated to our research community through our training sessions and is also visible on our webpages. The Research Integrity Office provides assurance to researchers that they should feel safe to report poor research practices, either to us or at local level. The Research Integrity Office encourages researchers to approach us or local contacts (ordinarily the Research Integrity Advisors) if they feel that they or others have failed to meet the expected standards of good research practice, so that we can offer appropriate advice on how to

mitigate any risk, and then advise on the next steps should it be appropriate to report research misconduct. In the course of an investigation, we may signpost to mental health support provided by the College to staff and students, where appropriate.

Summary data on formal investigations of research misconduct

The following summary data relates to cases that have been undertaken by the College under the Procedure over the past 5 years. Other issues relating to research integrity and handled by the Research Integrity Office are not included in this information. Please note that the figures provided for research misconduct are provided for the financial year (August 2020-July 2021), to align with our internal reporting purposes. Data on investigations under the Procedure and issues of research integrity are reported to SMT quarterly within the audit and monitoring section.

Figure 1: Chart showing the number of closed research misconduct investigations by financial year (Aug-Sept)[2]

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[2] Please note that the chart has been generated from a spreadsheet with the earliest record being the case closed in November 2018. As such, the earlier cases included in the table are not represented.

Date Completed	Source of Allegation	Respondent Status	Faculty	Allegation	Outcome
Ongoing	External	Staff	IoPPN	Failure to follow accepted procedures	*Pending*
Ongoing	External	Former staff	IoPPN	Failure to follow accepted procedures	*Pending*
Ongoing	Staff	Former staff	IoPPN	Failure to follow accepted procedures	*Pending*
Ongoing	Anonymous (internal)	(i) Former staff; (ii) former PhD student	IoPPN	Fabrication; falsification; misrepresentation of data and/or interests and/or involvement; and failure to follow accepted procedures	*Pending*
07/2021	Anonymous (internal)	Staff x3	IoPPN	Misrepresentation of data and/or interests and/or involvement; and failure to follow accepted procedures	Unfounded (x3); Substance to allegations (x2), not research misconduct but poor research practice
08/2020	Anonymous (external)	Staff	n/a	Misrepresentation of data and/or interests and/or involvement	Unfounded
08/2020	Anonymous (external)	Staff	IoPPN	Misrepresentation of data and/or interests and/or involvement	Substance to allegation, not research misconduct but poor research practice, erratum published
08/2020	Anonymous (external)	Former staff	IoPPN	Misrepresentation of data and/or interests and/or involvement	Substance to allegation, not research misconduct but poor research practice, paper retracted
02/2020	Anonymous (external)	Former staff	IoPPN	Misrepresentation of data and/or interests and/or involvement	Unfounded
02/2020	Anonymous (external)	Former staff	IoPPN	Misrepresentation of data and/or interests and/or involvement	Substance to allegation, not research misconduct but poor research practice, erratum published

02/2020	Anonymous (external)	Staff	IoPPN	Misrepresentation of data and/or interests and/or involvement	Unfounded
10/2019	PhD student	Staff	IoPPN	Fabrication; misrepresentation of data and/or interests and/or involvement; and failure to follow accepted procedures	Unfounded (x3); Substance to allegations (x2), not research misconduct but poor research practice, training required
10/2019	Anonymous (external)	Staff	FoDOCS	Misrepresentation of data and/or interests and/or involvement	Substance to allegations (x3), not research misconduct but poor research practice, erratum submitted
10/2019	Anonymous (external)	Staff x2	FoLSM	Misrepresentation of data and/or interests and/or involvement	Unfounded (x3); Substance to allegations (x5), not research misconduct but poor research practice, errata and training required
04/2019	Journal editor	(i) Staff; and (ii) Former PhD student	FoLSM	Misrepresentation of data and/or interests and/or involvement	Substance to allegation, not research misconduct but poor research practice
03/2019	External examiners	PhD student	A&H	Plagiarism	Upheld in part, not intentional but reckless
12/2018	External independent source	Former PhD student	KBS	Misrepresentation of data and/or interests and/or involvement	Unfounded
12/2018	External examiners	PhD student	SSPP	Plagiarism	Substance to allegation but not research misconduct and can be remedied at local level
11/2018	External examiners	PhD student	SSPP	Plagiarism	Substance to allegation but not research misconduct and can be remedied at local level
09/2018	External entity	Staff	SSPP	Plagiarism	Unfounded

04/2018	Former postdoctoral researcher	Staff	NMES	Misrepresentation of data and/or interests and/or involvement	Unfounded
04/2018	Journal editor	Staff	FoLSM	Misrepresentation of data and/or interests and/or involvement	Unfounded
10/2017	Internal Supervisor	PhD student	FoLSM	Misrepresentation of data and/or interests and/or involvement	Substance to allegation, not research misconduct but poor research practice
03/2017	External examiner	PhD student	SSPP	Plagiarism	Upheld

Annual Report of the Audit, Risk & Compliance Committee

1. INTRODUCTION

1.1 This report reviews the adequacy and effectiveness of the university's management of risk, considers the findings of both internal and external audit for the academic year 2020-21 and comments on any significant issues identified up to the date that it has been prepared. It also comments on the adequacy and effectiveness of internal control, governance, data management, arrangements for securing economy, efficiency and effectiveness (VfM) and arrangements for ensuring legislative and regulatory compliance.

1.2 This report is prepared for the Principal and Council of King's College London, as a good practice measure rather than from regulatory mandate. However, it will be shared with the OfS and Research England, if requested.

2. COMMITTEE MANAGEMENT AND ENGAGEMENT

2.1 The Audit, Risk and Compliance Committee (ARCC) met three times during the year and reviewed at each of its meetings the ongoing arrangements for the management of risk as well as a broad range of internal audit reports. In view of the COVID pandemic and government advice against all but essential travel into work, all of the meetings were conducted online, using Microsoft Teams. Meetings were considered more difficult to conduct online, largely because the interaction between members tended to be reduced when compared to in-person meetings. The informational pre-meetings, which have been a feature of the ARCC in previous years were also reduced because they are considerably harder to replicate on Teams, although one meeting was attempted with the senior team of the King's Health Partners. However, overall, it was felt that there was no serious detriment to the quality of the meetings or discussions, and the technology was consistently reliable.

2.2 At the end of the 2020-21 year, two members left the Committee. Ms Ros King, who was a member of the College Council, departed having completed her maximum term. Dr Susan Trenholm, who was appointed to the ARCC as a staff member of Council, also left because she had taken up an appointment at another institution and was leaving King's. Professor Guy Tear will replace Dr Trenholm as the staff member of Council on the ARCC, subject to final recommendation by the Governance and Nominations Committee and approval by College Council.

2.3 The Chair continues to have regular meetings and discussions with the Deputy College Secretary & Chief Compliance Officer, who line-manages the Internal Audit Department and Business Assurance function. During the year, the Chair of the ARCC has also had access to the Assistant Director of Business Assurance (Audit), who manages the day-to-day work of the internal audit function. The independence of the internal audit function from university management is ensured through these on-going relationships between the Chair of the ARCC, the Deputy College Secretary & Chief Compliance Officer and staff in the Business Assurance function.

2.4 The Chair was also in regular contact with senior members of the Executive outside of the ARCC meetings, most particularly the interim Principal, the Senior Vice President (Operations), and the Vice-President (Finance).

2.5 In January 2020, the Chair of the ARCC and the Chair of the Estates Strategy Committee (ESC) jointly commissioned the Director of Estates to assist in the process by which the Committees assured themselves that the Executive was appropriately addressing the issues raised by fire safety issues at the Champion Hill halls of residence. This external review reported in the 2020-21 year and presented its conclusions to the March 2021 meeting of the ARCC.

2.6 During the year, the Committee has continued to engage with members of senior management regarding specific risk themes and topics at each of the three meetings during the year. More broadly, members of the ARCC have continued to engage with the Director of Strategy, Planning and Analytics and her team with regard to the rounded management of enterprise risk. This has included a private meeting of independent members with the team responsible for the co-ordination of Enterprise Risk Management outside the normal cycle of committee meetings. The Committee has also had the opportunity to review the university's purchasing arrangements with the Chief Procurement Officer through her presentation of the Annual Procurement Report. This is a key part of its broader assessment of the approach to the achievement of value for money. Matters concerning internal controls, governance and arrangements to support data quality have principally been discussed with the ARCC through the reports of the Internal Audit and Research Assurance functions.

2.7 The Committee continues to receive a termly Compliance Report, which enables members to maintain a landscape view of compliance risk at the College. Regular reports are received on key issues, such as compliance with the OfS Conditions of Registration, the Prevent Duty and legislation relating to the College's responsibility toward ensuring democratic processes in the Student Union. The termly Compliance Report is underpinned by a programme of independent assurance reviews carried out by the Department of Business Assurance. This programme of reviews is determined on a risk basis, with areas of higher risk being prioritised for review. The Committee also receives a number of annual reports in relation to compliance, including the annual report of Health and Safety Services and Equality, Diversity and Inclusion.

3. RISK MANAGEMENT

3.1 The ARCC has responsibility for reviewing the adequacy and effectiveness of the risk management processes of the university on behalf of the College Council. The improvement of processes for Enterprise Risk Management has been one of the main focuses of the ARCC in recent times. The Committee supported a refresh of Enterprise Risk Management in 2020, which relocated responsibility for the co-ordination of ERM to the Strategy, Planning & Analytics (SPA) Directorate. The Business Assurance Department maintained responsibility for providing the ARCC with assurance on risk, largely through its regular internal audit reports. These arrangements were designed to ensure a more effective division of responsibility between risk management and risk assurance. Ownership of the key corporate risks resides in the *University Executive* under the new executive governance structure of the College.

3.2 The Director of SPA has reported to ARCC on the progress of the project to embed the new processes for managing enterprise risk at the College through a standing item on each agenda of the Committee's meetings. The SPA team working on this activity have also had the opportunity to meet privately with the independent members of the ARCC to receive feedback on the new processes and to benefit in

general from the professional experience of those members who have worked in heavily controlled risk environments.

3.3   As part of its ongoing review of specific risk topics, the Committee received presentations from senior members of the College's management team for discussion on the following key areas at its meetings during the year:

- **Cyber Security**
  The ARCC has paid particular attention to the risks presented by cyber-attack or information security breach during this year. This has included establishing a sub-committee to engage with the key members of management on strategies to improve the College's cyber security posture. The Chief Information Officer presented to the ARCC on the roadmap to harden the security posture at the November 2020 meeting of the ARCC and also presented update papers to the subsequent two meetings in the year. During the year, a steady improvement was noted by members of the Committee, culminating in a significant investment in resources for cyber security and associated IT activity being made by the College in its business planning round. Challenges still remain in implementing the roadmap effectively and members noted that there will still be significant weaknesses in the systems whilst the central IT Directorate does not have full control over the IT assets which access its networks, which will remain the case whilst research academics in particular are allowed to plug equipment into the College network without going through an appropriate scrutiny and challenge stage with the central IT teams. Work is underway to address this through a Code of Connection, which will regulate how equipment joins the College networks in a much more rigorous manner. Presentations to the ARCC meetings also highlighted how the executive governance of this area is improving, with senior groups being formed to be accountable for both information security and data governance.

- **International Partnership Risk Management**
  The Director of International Strategy led a discussion at the November 2020 meeting about how the College was addressing particular country risks relating to partners overseas. The intention was to build a risk profile on a country-by-country basis, with the first such profile focusing on China. It was noted that noted that universities were in a strange position in regard to China, since they are set up to be the bastions of liberal free speech and freedom of expression, and yet China as one of the sector's biggest potential partners in terms of both research and supply of students does not share these values. The risk assessment concentrated on identifying where the differences lay between the two cultures and understanding the risks which arise as a result. The risk assessment was being led by the Director of the King's China Institute and members of the ARCC were able to engage in discussion with him about the likely impacts over time on student recruitment from China and commercial partnerships, against potential shifts in the political climate. The Committee expressed interest in the work going on to understand international risk and noted its intention to return to discussion of this topic at an appropriate time in the future.

- **Risks arising from the UK's withdrawal from the European Union**
  The ARCC members had the opportunity at the November 2020 meeting to also consider the way in which the College was approaching the major risks

presented by the UK's final withdrawal from the European Union on 1st January 2021. Plans were based on the assumption that an exit deal would not be reached in time and the College was preparing itself for disruptions in customs, importation, and trade, resulting in delays in the supply chain as well as additional work and bureaucracy. The major longer-term risks were around research relationships. The diversity of the student body was a lesser concern, as diversity would still be present irrespective of the UK leaving the EU. Members of the Committee were assured that preparations had included a financial quantification of the impacts, including modelling around international student numbers and an assessment of increased costs to import supplies. It was also noted that the College had taken steps to strengthen its research relationships in Europe as a buffer against Brexit. The Director of International Strategy confirmed to the ARCC that appropriate mitigations were in place to cover the chief risks as outlined.

- **Equality, Diversity and Inclusion**
The Director of Equality, Diversity and Inclusion (EDI) presented the Annual Equality, Diversity and Inclusion Report to the Committee in March 2021. She noted that this is an area which has a great deal of reputational impact on and institution and can also have a significant impact on the attraction and retention of staff and students. It was noted that the College had set its priorities around governance and key projects and embedding EDI in all elements of its activities and that a line of accountability had been created throughout the institution, from the College Council down. The Director of ED&I was able to outline a lot of good practice, but she noted that there were still some risks present in the environment going forward. For example, the College had still not fully addressed the challenges relating to compliance with digital accessibility, although work was continuing on this at pace. Members noted that a great deal of work had been done on the development of communities and networks and that a number of EDI Development Programmes were supported by the College. In discussion with the EDI team, members noted that one of the most prominent statistics in the presentation was the declining number of female senior academics and were provided with management assurances that work was underway to arrest and reverse this trend. Members had the opportunity to fully engage with the Director of EDI and her team to understand in more detail some of the key risks present in this area.

- **Financial Recovery and Sustainability (FRS)**
Members of the ARCC noted that the FRS programme was an important part of the endeavour to achieve the 4% operating surplus required to fund further strategic developments at the College. In total, ninety-six efficiency schemes of differing scales had been identified. At the maximum efficiency level, it was expected that savings and efficiencies totalling £56m should be achievable over a six-year period, mainly in Professional Services and Research. It was noted, though, that cultural attitudes towards efficiency may need to change and that the process needed to be embraced. The Vice-President (Finance) noted that the programme had started to create impetus for improved performance and the inclusion of financial metrics thus improving the quality of information available. It was also noted that this programme was likely to be more successful than previous attempts because of a strong focus and better engagement. Importantly, key staff were starting to understand that improved efficiency can generate much-needed surpluses.

- **Professional Services Ways of Working**
  The Senior Vice-President (Operations) provided an update on the new ways of operating model for Professional Services, including a review of the changes to the leadership of the area. It was noted that the investment in professional strengthening had proved beneficial in the context of the pandemic and in mitigating the risks which had arisen from the resulting lockdowns. The more agile, inclusive decision-making was proving popular with Professional Services staff, and this would yield benefits after the pandemic, which is what the Ways of Working project was focusing on. Flexible working was envisaged, subject to the needs of job roles and the university, and a hybrid model of working from home and on campus was likely to be developed. The Senior Vice-President (Operations) noted that success would be measured through engagement with staff about flexibility and data about hybrid roles. The return of the whole College community to campus by the end of the calendar year would not be without risk but would, of itself, be an indicator of success.

3.4   The opportunity to directly question risk owners about their chief challenges and, particularly, about their risk mitigation strategies continues to be greatly valued by members of the ARCC. This was particularly the case during the uncertain period of the onset of the pandemic and the continuing lockdowns, as the university sought to mitigate the impacts of the pandemic whilst still accommodating its growth ambitions.

3.5   As part of its remit around risk and value for money, the ARCC had the opportunity to discuss purchasing matters with the Chief Procurement Officer. At its March 2021 meeting, the Audit, Risk and Compliance Committee noted the update report on the strategic improvement plan put forward by the Chief Procurement Officer. The Chief Procurement Officer attended the meeting to answer questions from members and to present the next steps for the ongoing Procurement Improvement Plan.

3.6   Overall, it was observed that the university did not spend as much money in 2020-21 as it had in the previous year. This was intentional because of concerns connected with pressures on income due to the lockdown. In a normal year, the university will spend around £200m on contracts, this year it had contracts worth about £18m. The Procurement team had succeeded in making sure that a majority of contracts were ended or paused in a way that meant the College did not have to pay compensation to contractors and that no legal challenges were triggered. The number of Single Source Justifications had greatly reduced, although the overall value remained quite large, mainly because of the need to procure solutions quickly for cyber security, for reasons of laboratory equipment compatibility, and for projects connected with COVID-19 research. A number of positive advances were noted, including the creation of a contract management network, the creation of a construction procurement strategy, the establishment of a collaboration agreement with GSTT, and the renegotiation of some high-value strategic contracts.

3.7   The CPO noted that much was being done in relation to modern slavery, with considerable attention being paid to large contracts, where there is a strong focus on asking questions relating to modern slavery issues before the contracts are let. Work has also been done with purchasing consortia to check as best as possible, but this can still be a bit limited because it is a process reliant on self-assurance.

3.8   Members of ARCC were pleased to see so much positive momentum and noted the comments of the Senior Vice-President (Operations) that the Chief Procurement Officer had had a very positive effect on King's and had gained respect from across

the institution for the manner in which she had transformed the procurement function.

4.   INTERNAL AUDIT

4.1   In order to remain flexible and responsive to change, and also to support management during the business recovery period, the Internal Audit Plan for each term of the 2020-21 year was approved at the ARCC meeting prior to the relevant term. This allowed the Business Assurance Department to respond to management need and support the recovery process, but also to provide assurance in the areas where the Committee considered the most significant risks reside. Despite a certain amount of staff turnover in the Internal Audit team, the plans were delivered successfully.

4.2   During the year, 39 internal audit reviews were completed, together with follow-up work in relation to previous audits. One review was led by PA Consulting as part of the IT Assurance Programme, fourteen reviews were undertaken as part of the Compliance Assurance Programme and one Data Governance Review was led by the Information Compliance team.

4.3   All Internal Audit review outputs were reported to the ARCC during the year at its termly meetings, with a summary of the findings being reported to the governing body through the Chair of ARCC's regular report to Council. A summary of the reviews presented through the year is contained in the Annual Report of the Business Assurance Department for the 2020-21 year (ARCC1121K).

4.4   The Assistant Director of Business Assurance (Audit) left the College in June 2021, and the role is currently being undertaken by another member of the team, acting up in an interim capacity. A permanent replacement will be sought in the new year, with the role being restructured to become Head of Internal Audit if resources permit.

4.5   The need for more technical and cyber literacy within the Business Assurance function is being addressed by the addition of an Information Security specialist. The role is currently out to advert and it is expected that it will be filled early in 2022. This will help, amongst other things, to shape cyber security audit reviews in the future and, whilst the Business Assurance team will still utilise the expertise of PA Consulting as part of its IT Assurance programme, it will be better positioned to challenge the design, scope and findings of those reviews as part of a robust audit process.

5.   EXTERNAL AUDIT

5.1   Ms Fleur Nieboer and Mr Benjamin Lazarus presented the external audit findings on behalf of KPMG. Ms Nieboer noted that the audit process had run smoothly, and the Finance team had been very responsive to the auditors' queries. In the context of the size and complexity of the College, it was remarkable that the number of findings and recommendations in the report was relatively small. Ms Nieboer reported that work was almost complete on the audit, that the work undertaken by KPMG had produced positive assurance, and that she expected to be able to issue an unqualified opinion on the accounts and the use of funds. Ms Nieboer confirmed that the work had taken close account of the key audit risks, which are recognition of funds, management override of controls, and valuation of land. Mr Lazarus presented some of the detail of the audit to the Committee and noted that there had been no issues raised with regard to

management override of control, the recognition of income or with land valuations. It was reported that accounting estimates and assumptions were all balanced and sensible, although the attention of the Committee was drawn to a finding that the USS pension liability calculation had been made using very cautious assumptions, particularly around the discount rate, which provided a higher liability figure than would have been the case if a more balanced discount rate had been used. A final piece of significant audit testing had still to be undertaken on the payroll because the required salary data had not been made available for the auditors in time. It was noted that this was an issue with the audit process and not something which was likely to change the audit opinion. Ms Nieboer confirmed the independence of KPMG and brought a number of statutory communications to the notice of the members.

5.2   During the 2020-21 year, KPMG undertook five separate non-audit exercises for the College. The total remuneration for the five exercises totalled £42,450. Three of these work packages related to advisory work on tax matters, which totalled £33,350. The remaining two exercises were reviews relating to statutory assurance requirements, including one which was necessary because the College processes loans to certain students on behalf of the government of the United States of America. All work was approved locally in accordance with the ARCC Terms of Reference and was passed through the KPMG ethical review processes.

6.   COMPLIANCE

6.1   A full programme of Compliance Assurance Reviews was carried out by the Business Assurance Department during the year and a termly Compliance Report was presented to the ARCC at each of its meetings during the year. The report presents a largely management view of the legal and regulatory compliance landscape, whilst the Compliance Assurance Programme is designed to give an independent view of that assessment and is supported by an assurance map, drawing on a number of sources, which also sets out the risk assessment. In all, 27 areas of compliance are considered, including areas such as the management of the OfS Conditions of Registration, Equality and Diversity duties, employment law, anti-money laundering responsibilities, Human Tissue legislation and regulations relating to the use of animals in scientific procedures, fundraising and compliance with the 1994 Education Act provisions for governance of student union activity. The risk assessment which accompanies the report provides the Committee with a high-level view of the movement in risk in this area and provides a good barometer of how the legal and regulatory compliance is managed across the College.

6.2   The Committee also had the opportunity to discuss fire safety arrangements with members of the Estates and Facilities team during the year, with a particular reference to the events which had seen the evacuation of the Champion Hill Halls of Residence in the preceding year and to discuss general Health and Safety management with the Interim Director of Health & Safety Services who presented their annual report to the Committee at its March 2021 meeting.

6.3   Overall, the compliance landscape was considered to be well managed, despite challenges from regulatory change. Currently the Committee regards the most challenging regulatory environments to be those connected with visa management for both students and staff, and the management of research facilities which are licensed by the Home Office. The Committee also notes that one area where an assessment of high risk has been accepted is data protection. This is because human

nature will always play a key role, and so it is impossible to completely mitigate against the actions of an individual, whether malicious or benign, causing a data breach. Therefore, a high probability rating has been accepted by the College, although it continues to develop and implement policy and training to ensure that the impact of any breach is moderate.

7.   CONCLUSIONS

7.1   The Audit, Risk and Compliance Committee are able to comment on the adequacy and effectiveness of internal control and risk management systems within the university as well as the arrangements for securing value for money. In providing these conclusions the Committee has had due regard to the impacts of the Covid pandemic and the national lockdown and has considered the performance of the university in that context. The Committee has reviewed a broad range of internal audit reports as well as reports concerned with purchasing and risk management. It has discussed at length the comments and findings of the external auditors following their annual audit. This included undertaking an assessment of the following key areas:

- the effectiveness of the key financial and other administrative systems
- the effectiveness of budgeting and financial monitoring processes
- the extent to which managers comply with the university's approved financial regulations and procedures and best practice guidelines
- the adequacy and effectiveness of risk management, governance and the arrangements for securing value for money
- data governance and integrity

7.2   To assist the Audit, Risk and Compliance Committee in coming to this conclusion, the Business Assurance Department has given an opinion on the whole framework of internal control, based on its work throughout the year. This concluded that internal controls were generally soundly based and that, where deficiencies had been found, managers were engaged to improve the system of control. Major financial systems and reporting mechanisms were considered generally adequate and effective and there was evidence to support the conclusion that managers seek and achieve value for money in the management of their various functions and activities.

7.3   Members of the ARCC also received a management representation from the Senior Management Team to assist them in providing an opinion on the adequacy and effectiveness of the university's arrangements for risk management, control, governance, data assurance and value for money (see Annex A). This confirmed management's opinion that the university's systems of internal control had operated in a generally effective manner throughout the year to 31 July 2021

7.4   Members of the Committee also noted that the major financial systems were subject to continuous review. Where reports by internal or external auditors raised control issues, the Committee sought assurance that the necessary improvements were being addressed or that any risk being carried was fully understood. Activity to remediate control weaknesses is monitored through reports to the Committee.

7.5   Internal audit reports have referenced value for money matters consistently, as well as a small number of reviews which were designed specifically to test this area of work. In addition, the ARCC has had the opportunity to discuss with the Chief Procurement Officer how the College is approaching the development and execution of its strategy with regards to value for money.

7.6   The Committee engaged directly with Management during the year in regard to the improvement of systems to manage risk and, in particular, the processes by which risk is monitored, mitigated and reported throughout the institution. The Committee noted that management are committed to managing risk effectively and are currently content that the College is engaged in an appropriate improvement programme to support effective risk management culture within the organisation.

7.7   The ARCC meetings also paid attention to the management of the university during the Covid pandemic, both in terms of managing its campuses in a manner which was compliant with government guidance, but also managing the day-to-day business of the institution in a higher-risk environment. In terms of the management of the campuses, regular reports were provided by the Principal and two compliance assurance reviews were able to support the view that the approach was consistent with DfE guidance. The Committee has also noted the relatively positive position of the university, both in terms of financial health and recruitment numbers at the end of the period of national lockdown.

7.8   In this respect, the Committee was able to endorse the university's statement of internal control for the financial year 2020-21.

7.9   Based on the Audit, Risk and Compliance Committee's review of internal audit reports, risk management arrangements, the external auditors' findings, and Management's Letter of Representation, members were able to support the judgement that:

- The university's arrangements for control and governance were both adequate and effective
- The university's arrangements for securing value for money were both adequate and effective
- The university's arrangements for the management and quality assurance of data were both adequate and effective.
- The processes by which the university manages its key risks is improving and maturing.

7.10   The Committee has developed strong foundations upon which to continue its work in 2021-22. The principal aspiration of the ARCC for the next year will be to encourage the development of the risk management framework, building on previous successes, to ensure that the key processes are systematised in a way that promotes effective operationalisation and robust assurance. It is a longer-term aspiration of the Committee to introduce a Board Assurance Framework, which will link to the work of the Executive in managing the key risks, the work of the internal and external auditors, and draw on other sources of assurance, both those presented by management and those derived from external agencies.

Mr Paul Cartwright
Chair – Audit, Risk and Compliance Committee
King's College London
November 2021

MANAGEMENT REPRESENTATION

Report for Members of Audit, Risk and Compliance Committee

1) This report has been prepared by the Senior Management Team for Members of the Audit, Risk and Compliance Committee in order to assist them in providing an opinion on the adequacy and effectiveness of the university's arrangements for risk management, control, governance, data assurance and value for money.

2) In order for Members to receive the required level of assurance in giving this opinion, the Senior Executive Team has made the following representations:

   - Law and Regulations – we are not aware of any actual or potential breaches of laws and regulations, other than those reported to the Audit, Risk and Compliance Committee and/or Finance Committee, which could have a financial impact on the Financial Statements for the year ended 31 July 2021.

   - Fraud - we are not aware of any actual or suspected frauds, other than those reported to the Audit, Risk and Compliance Committee and/or Finance Committee, which could have a financial impact on the Financial Statements for the year ended 31 July 2021.

   - Related Party Transactions – we confirm the completeness of the information provided to the external auditors regarding the identification of related parties and regarding transactions with such parties that are material to the Financial Statements. The identity of, and balances and transactions with, related parties have been properly recorded and, when appropriate, adequately disclosed in the notes to the Financial Statements. We are not aware of any other such matters required to be disclosed in the financial statements.

   - Internal Control – we confirm that a generally effective system of internal control has been in operation throughout the year to 31 July 2021. A small number of areas have been identified where there have been control failures or established controls have operated sub-optimally. In these events, the issues have been reported to the Audit, Risk and Compliance Committee and, where appropriate, College Council. In each case, steps have been taken to mitigate the effect of the failures and prevent recurrence.

   - Risk Management – Whilst the pandemic situation has meant that formal processes for the consideration and reporting of risk has been suspended for much of the year, Management have kept the key risks to the university in view throughout the year to 31 July 2021. An improvement process is currently in train for the formal recognition and reporting of corporate risk management activity.

   - Data integrity – any identified breach of data to the year end 31 July 2021 has been handled in accordance with the relevant university policy and cases which have required reporting to the Information Commissioner's Office have been notified to the Audit, Risk and Compliance Committee as appropriate. This remains a key area of concern and focus for senior management.

For and on behalf of the Senior Management Team
November 2021

Annual Report of the Department of Business Assurance

EXECUTIVE SUMMARY

1. This report reviews the work of the Internal Audit Department of King's College London for the financial year 2020-21 and comments on significant issues identified to date.

2. The Internal Audit team continues to form part of the Business Assurance Department, which is part of the wider College Secretariat. The Business Assurance Department reports to the Deputy College Secretary & Chief Compliance Officer, who has rights of direct access to the Chair of the Audit, Risk and Compliance Committee (ARCC), the Principal and the Chair of Council on audit matters. These rights of access have not been exercised during the year, although the Deputy College Secretary & Chief Compliance Officer has continued to have regular discussions with the Chair of ARCC through the year as part of a continual communication process.

3. During the year, 36 audit and assurance reviews were completed by the Business Assurance Department, together with comprehensive follow-up work in relation to previous reviews. The department has also supported one technical audit completed by a third party and undertaken four special investigations. The Department has also continued to work with the UKRI towards the closure of their Funder Assurance visit in 2019 and with the Wellcome Trust in anticipation of their Funder Assurance visit in 2021.

4. The audit programme included a range of work aimed at informing the ARCC's assessment of the effectiveness of internal control systems, management of risk and governance. A separate programme of work by the Business Assurance Department has provided assurance on legal and regulatory compliance matters. Where weaknesses were identified, remedial actions have been recommended and managers are engaged in a process of improvement.

5. We have continued to embed a programme of IT Assurance in collaboration with PA Consulting. The focus of work this year has been on cyber security. A post has been added in the Business Assurance Department to provide increased Governance, Risk and Compliance support and assurance for information security across the College.

6. *Internal controls are generally considered to be adequate and effective, although audit work this year has identified some control weaknesses. Where issues have been raised, management has been willing to engage and consider improvements. There is evidence to support the conclusion that value for money is sought in the management of various functions and activities and that, overall, the College has an adequate and effective approach to achieving value for money, although the Chief Procurement Officer pursues a programme of continuous improvement. Governance arrangements are also considered to be adequate and effective, following comprehensive review and reform in 2018 and 2019. The arrangements for managing the risks attached to specific work packages are generally considered to be adequate and effective, however, work is underway to improve the processes by which risk is monitored, mitigated and reported more broadly throughout the institution.*

KING'S COLLEGE LONDON

ANNUAL INTERNAL AUDIT REPORT 2020-21

1.   INTRODUCTION

1.1   This report reviews the work of the Internal Audit Department of King's College London for the financial year 2020-21 and comments on significant issues identified to date.

1.2   There have been a number of staff movements within the Internal Audit team during the 2020-21 year. At the time of writing this report, the staff establishment for the Internal Audit team consists of two Grade 7 posts and a Senior Professional Service post with one of the Grade 7 members of staff acting up into the senior position. The Grade 7 position is backfilled whilst we develop the plan for a restructure which will be submitted to the next Business Planning Round. Despite these staff changes, the Internal Audit team has performed well and has managed to complete the audit plan set for it over the 2020-21 year.

1.3   The ARCC approved the Internal Audit work plan one term at a time, to provide flexibility in the unusual circumstances of the lockdown.

2.   ACHIEVEMENT AGAINST PLAN & AUDIT TEAM OUTPUTS – 2020-21

2.1   The usual broad range of audits were undertaken during the year, and members of the ARCC have been able to draw on the outputs of these audit reviews to help in forming an overall opinion of the strength of the system of internal control, the adequacy and effectiveness of risk management, governance and data integrity, and the processes in place to achieve value for money.

2.2   A summary of all audits conducted by the internal audit team and reported to the Audit, Risk and Compliance Committee over the year is found in Appendix A, organised into the following categories:

> o   **Financial management & internal control**
> Work in relation to both financial management practices as well as the assessment of key controls has concentrated largely on central processes this year. Reviews included, Accounts Payable, Sundry Debtors, Treasury Management and Cash Flow Management, with one Faculty Review focussing on the IoPPN. Key controls were found to be working well in Accounts Payable, Pension Administration, Treasury Management, Sundry Debtors and Cash Flow Management. Improvements were considered necessary in the engagement of temporary staff using recognised agencies, purchasing card administration, and the management of aged debt in research.

> o   **Strategic & Operational Management**
> A number of reviews were carried out during the year associated with the College's arrangements to support its strategic goals and to evaluate non-financial operational management. The reviews which focused on the development of the College's strategy included, financial risk management, the College-wide arrangements for project management and the management of international partnerships. Reviews with a more operational focus included Student Conduct and Appeals, insurance arrangements for overseas research projects and Marketing. The reviews of financial risk management and

Marketing were broadly positive. The review of Student Conduct and Appeals noted that straight forward cases were managed well, but more complicated cases often caused problems because they did not fit a clear process The review of project management found pockets of good practice but also made recommendations for improvement. The management of overseas partnerships recommended a significant restructuring of roles and responsibilities.

o **Compliance Assurance**

A significant number of areas were reviewed as part of the Compliance Assurance programme this year. These included several reviews relating to DfE guidance for HE Providers during the Covid lockdown, compliance with consumer protection legislation, the UUK Concordat to Support Research Integrity and UUK Code of Practice for Accommodation, the management of donations for research, fire safety, and safeguarding. These reviews were able to conclude that the College was overwhelmingly compliant with legislative and regulatory requirements. The only recommendations of any significance were made in relation to DBS checks and fire safety.

o **Value for Money**

Three specific reviews took place in this category, although elements of value for money were also reported in reviews in the other categories. The reviews undertaken looked at the management of assets used for remote working during lockdown, charging in the Biological Service Units and accounting for Furlough leave. Recommendations for improvement were made in the management of assets and BSU reviews.

o **Data Governance and Integrity**

One review was undertaken in this category, focussing on data governance in research. The review concluded that, although there were many good practices in place to help support researchers manage their data well, the communication and advertisement of the availability of help and support could be improved.

o **Other audit work undertaken by third parties**

Only one review was led by a third party. This was the Cyber Security review undertaken by PA Consulting, which concluded that King's was in a position where it has good ability to detect cyber security incidents and an excellent ability to respond to them. However, some significant work was remaining to be done and PA Consulting concluded that the Road Map laid out by the IT team to support the hardening of the security posture over the next two years was appropriate and achievable.

o **Special Investigations**

The Department of Business Assurance also conducted two preliminary investigations following allegations made in a public interest disclosure, an investigation initiated by a request from a partner NHS Trust and a lessons learnt exercise requested by King's management. The Public Interest Disclosures related to an allegation of financial malpractice by an Executive Dean and an allegation of a failure by a central department to investigate a serious complaint appropriately. Both disclosures were investigated thoroughly and neither complaint was upheld or progressed to any other form of

investigation. In each case the complainant was informed of the outcome in accordance with the Whistleblowing policy.

4.   **AUDIT OPINON**

4.1   There is good evidence that internal controls are generally soundly based, are adequate and in the main operate effectively. A number of control weaknesses were identified through audit work during the year for which management have demonstrated a willingness to engage and make improvements to ensure that the overall control environment remains effective or, where appropriate, have provided justifications for accepting risk. A significant example of this has been the extent to which management have been willing to adapt their approach to cyber security and information security as a result of the concerns of the ARCC. The Senior Vice-Presidents, in particular, have been engaged with the process of remediation across a number of areas during the course of the year and receive interim updates on the progress of all audit work. Remedial actions are monitored by the Internal Audit team and progress is now reported to the ARCC in increased detail. There is also evidence to support the conclusion that managers seek and achieve value for money in the management of their various functions and activities and that the university supports this endeavour adequately and effectively. The College has a dedicated procurement function which was set up to ensure that the best value is achieved from suppliers at all times and is actively engaged in a programme of outreach to strengthen this objective across the institution. From a detailed knowledge and understanding of the governance arrangements operating within the university, as set out in the financial statements for the year ending 31 July 2021, it can be concluded that the university has an adequate and effective system of corporate governance.

4.3   The Audit, Risk and Compliance Committee has been engaged directly with Management in regard to the improvement of systems to manage risk and, in particular, the processes by which risk is monitored, mitigated and reported throughout the institution. The senior leadership of the university has responded by making changes to processes to produce the improvement recommended by the Committee. The Executive is aware of the need to manage risk effectively and are currently content that the university is engaged in an appropriate improvement programme which will support the cultivation of an effective risk management culture within the organisation. The processes by which the university manages its key risks has been a subject of close scrutiny by the ARCC and it has observed some tangible improvements over the past year. We are confident that, given the engagement of both management and the ARCC in this respect so far, the changes will produce an overall system of managing risk which is both adequate and effective.

Paul Mould
Deputy College Secretary and Chief Compliance Officer
November 2021

Appendix A – Listing of Audit Reports for 2020-21 with summarised findings and updated RAG ratings, where available.

Listing of Internal Audit Reviews for the year

#	Title of Review	Reported to ARCC	Key findings and follow-up notes	RAG Rating at Audit End	RAG Rating Nov 2021
Financial Management & Internal Control					
1	Management of Temporary Staff – Agencies (including King's Talent Bank)	Nov 20	This review of controls around the recruitment of staff via King's Talent Bank (KTB) and approved agencies found: • A lack of uniformity in the processes and authorisations that support them. • No central recording of temporary staff in central HR records, so they are missed in workforce planning • People can work on different assignments and accumulate service that entitles them to employment rights • Controls to restrict use of agencies are limited so anyone with budget can recruit, including during a freeze • Reports from KTB were found to rarely be disseminated or discussed. • Different pay rates were set for similar roles and there was little equality monitoring A number of recommendations were made for the significant improvement required.	🟥	🟥
2	Purchasing Cards	Nov 20	The review considered the financial and procurement processes associated with hospitality and travel spending, focusing on the monitoring of spend and improved controls introduced during the pandemic. It highlighted that: • Some improvements to processes had been implemented, but more work was needed to embed good practice • Monitoring, and review of existing cards by Business Managers could be improved • Follow up of unusual transactions particularly on some expenditure during the pandemic should also improve	🟧	🟨
3	Aged Debt in Research Grant Credit Control	Mar 21	This review analysed research income debt to identify recommendations to manage existing levels of debt back to appropriate levels. It found: • The increased levels of debt since 2018 were mainly caused by an ineffective billing process whereby invoices were not produced on time, and the failure to recover invoiced debt. • Lack of staffing resources was a key factor including lack of backfill for staff involved the finance system project • An action plan to address structural and resourcing issues was recommended	🟧	🟨

#	Title of Review	Reported to ARCC	Key findings and follow-up notes	RAG Rating at Audit End	RAG Rating Nov 2021
4	Sundry Debtors	Jun 21	The review of the trade debtors concluded with positive assurance over the controls and systems in place over credit control. The key finding was a lack of fully developed risk-based anti-money laundering procedures, which is a sector issue, currently being addressed by the College. Procedures around credit control are well established and testing confirmed are operating effectively.	🟧	🟩
5	Cash Flow Management	Jun 21	The findings of this audit indicated that: • Cash balances currently held were significantly higher than forecast cash balances. • Clarification of the term "excessive cash resources" in the Treasury Management policy would bring It was recommended that: • Steps be taken to ascertain if there are any areas which were likely to increase investment returns further • Succession planning and single points of failure in the team be addressed	🟩	🟩
6	Accounts Payable	Nov 21	The review found evidence that: • The purchase ledger contained a number of historic unresolved invoices remaining on supplier accounts • Significant debit balances pointing to potential overpayment issues • Standard processes, such as supplier statement reconciliations, not undertaken for some time The review was satisfactory in many respects, but it highlighted that gaps in end-user understanding of the purchasing process resulted in delays to invoice approval and payment. • Post-audit, it was noted that a review of statements had been reintroduced, resolving some payment issues.	🟧	🟨
7	International Payments	Nov 21	The review noted that there had been delayed postings to the General Ledger World for international payments, causing issues with the accounts receivables processes. The audit highlighted improvements required to the controls around the credit note process, supporting documentation of purchase orders, duplicate payment analysis and supplier reconciliations on the accounts payable side. Additionally, it highlighted the need to further develop the anti-money laundering checks on accounts receivables.	🟧	▨
8	Pensions Administration	Nov 21	Testing was carried out to check the controls in the management of the pension schemes and to provide assurance that pension contributions were correct. It concluded that contributions were accurate, and deductions as expected, with payments made within the legal timeframes. Recommendations were made for: • More operational checks on areas of potential error, such as maternity & improved system reporting capability • Improvements to reconciliations, particularly the pension control account.	🟩	▨

#	Title of Review	Reported to ARCC	Key findings and follow-up notes	RAG Rating at Audit End	RAG Rating Nov 2021
9	Treasury Management	Nov 21	This review made two low-risk findings: • The Treasury Management policy contains a defunct requirement to discuss borrowing plans with the regulator • Reporting of known financial risks required by the Financial Regulations was not formally made to the Investment sub-committee Overall, the review was able to provide positive assurance over the controls and systems in place.	Green	(n/a)
10	Faculty Review: IoPPN	Nov 21	Several issues were identified during this audit. Most significant was a variability in the approach to the management of approval of expenses and oversight of purchasing card transactions. Other findings included: • Few controls for the purchase and distribution of gift vouchers used for recompensing research participants. • Failure to remove leavers from system access in a timely manner. • Expenses claims were found to be incomplete in terms of supporting information. Several recommendations were made, and management action plans were agreed for remedial action.	Amber	(n/a)
Strategic & Operational Management					
11	Financial Risk Management	Mar 21	Despite a lack of completed process documentation for the assessment and monitoring of financial risks, the College responded well to the challenges and risks faced during COVID 19. The review recommended strengthening the risk management framework through: • Keeping documented evidence of monitoring and reporting of risks • Completing a risk register with defined risk ownership, and the identification of appropriate mitigating actions. Management have agreed the remedial action plans which were suggested by the auditors.	Red	Yellow
12	College-wide arrangements for Project Management	Mar 21	A professionalisation of project management at the university over the last two years was noted, but it was also observed that there was still localised practice and fragmentation including different approval processes and governance arrangements. It was recommended that an organisation-level portfolio approach be taken and endorsed by senior level sponsorship. This has started with the appointment of a Portfolio Director.	Amber	Yellow
13	Student Conduct & Appeals	Jun 21	The key findings of this audit were: • A single point of failure was created by the team's dependence on the Head of Student Conduct Appeals. • Cases were becoming increasingly complex with no additional resource or system support • Objectives were not set and there was limited management reporting or senior ownership The recommendations of this review have been agreed by management and action plans created.	Red	Amber

#	Title of Review	Reported to ARCC	Key findings and follow-up notes	RAG Rating at Audit End	RAG Rating Nov 2021
14	Marketing	Jun 21	The review of Marketing identified that it was a key component of financial sustainability in terms of the College's ability to continue to recruit an appropriate number of students, to the right programmes and level of study. It was noted that there had been a minimal impact on student recruitment, over two recruitment cycles, despite the challenges of lockdown. The auditors confirmed that the marketing processes gave positive control assurance over the ability to attract students internationally and meet course demands and targets.	🟩	🟩
15	Management of International Partnerships	Jun 21	This review of the establishment and management of international partnerships found: • A lack of standardisation in process and documentation in commercial partnerships • The Vice-Principal (International) & International Committee could be bypassed in decision-making • The risks posed by new partnerships were incompletely understood through due diligence It was recommended that more focus be given to a strong central function with Standardised processes and consistent governance and a new draft strategy has been created by management taking these points on board.	🟥	🟨
16	Insurance Arrangements for Overseas Research Projects	Nov 21	This review of arrangements for insurance and indemnity provided on research awards which are partially sub-contracted to partner organisations noted that in some cases overseas partners were either unable or unwilling to obtain sufficient public liability insurance to cover the work relating to externally funded research projects and equally sufficient professional indemnity insurance cover beyond the life of the project. Several measures have been implemented to improve this situation as a result of the review and follow-up work. These include implementation of new criteria and processes for obtaining quotations through the College, improvement to the clauses of the contracts with the sub-contracted parties and to due diligence processes, and the creation of a working group to create formal SOPs in plain language with clarity around Clinical Trials and Sponsorship impacts.	🟧	🟩
Compliance Assurance					
17	OfS Registration Conditions 2019/20	Nov 20	This compliance review was undertaken in the summer of 2020 to determine whether the College has in place measures to ensure it remains fully compliant with the OfS Conditions of Registration. King's produces an annual report to assess compliance with the OfS Conditions of Registration, which is then independently assessed by the Business Assurance Department. The 2020 review undertook sample testing and concluded that the College was compliant with all of the OfS Conditions of Registration.	🟩	🟩

#	Title of Review	Reported to ARCC	Key findings and follow-up notes	RAG Rating at Audit End	RAG Rating Nov 2021
18	Compliance with DfE Covid Guidance – King's College London	Nov 20	A review of compliance with DfE guidance when re-opening campuses in Autumn 2020 concluded that close consideration had been taken of the guidance. Where the College deviated from the guidance, the rationales appeared to be sound and were captured and documented.	🟩	🟩
19	Compliance with Research Funder terms and conditions	Nov 20	This review conclude that good progress had been made in implementing the agreed actions from the UKRI funder assurance review and that management had devoted significant time and resource to address the concerns of UKRI, including by re-engineering some key processes and establishing more effective cross campus collaborative working, especially through the establishment of a "One Team" to address the fundamental issues.	🟧	🟨
20	UUK Concordat to Support Research Integrity	Nov 20	The auditors noted that the university had implemented a number of the requirements of the UUK Concordat to Support Research Integrity and was broadly in compliance with the obligations and commitments it contains. The review made a small number of recommendations aimed at embedding the Concordat provisions into College processes, such as streamlining the whistleblowing process to align with the overarching institutional procedure, and supporting a network of good practice champions.	🟧	🟩
21	Statutory duties relating to KCLSU 2019/20	Nov 20	This review provided an assessment of the extent of compliance by both the College and Student Union with the legislation relating to individuals' membership of student unions and democratic processes. From examination of reports and key documentation provided by KCLSU, or available publicly on their website, the review was able to conclude and that all necessary processes were in place and that documents were (where appropriate) made readily available to the student body as required by the 1994 Education Act and other legislation. The review was able to conclude that both the university and KCLSU were compliant with the legal requirements set out in the 1994 Education Act.	🟩	🟩
22	Management of arrangements for fire safety	Nov 20	The review concluded that the university has in place broadly sound systems and procedures to manage its responsibilities with regard to fire safety. However, the compliance standards which were set by the university Health and Safety Management Group, which are a higher standard than the legal minimum, were not always met due to lack of adequate resource at the time that the review was undertaken. Thus, the university appears to be fully compliant with its legal requirements with regard to fire safety even if not in all cases with its own internal standards.	🟧	🟨
23	Compliance with DfE Covid Guidance – King's	Mar 21	The auditors replicated the review of compliance with DfE Covid guidance for the King's College London Mathematics School. The school is a sixth form college which works in partnership with King's College London. The main challenge for this audit was understanding the schools' guidance, which was more extensive than the HE	🟩	🟩

#	Title of Review	Reported to ARCC	Key findings and follow-up notes	RAG Rating at Audit End	RAG Rating Nov 2021
	College London Mathematics School		guidance. The review concluded that the Maths School had followed the DfE guidance closely in order to facilitate the start of the school year on-site and in face-to-face classes in September 2020. Rationales were recorded for each incidence where the school opted to deviate from the guidance.	🟩	🟩
24	Compliance with DfE Guidance for Christmas Closure – King's College London	Mar 21	This review assessed the university's compliance with the DfE guidance for getting students home at the end of the first term of the 2020-21 academic year and concluded that King's College London had complied with most of the advice, and where it had chosen not to follow the DfE guidance there were clear rationales and appropriate records.	🟩	🟩
25	Management of pathways for donations for research	Mar 21	This review considered the way in which philanthropic support for research is managed once it reaches the College, as there are different pathways for donations to support specific research. The auditors found a lack of a defined process but noted that work had already commenced to provide appropriate definitions, eligibility criteria, and accurate recording of income. This work was further supported by the output of the review and a new policy and associated procedure is now in place.	🟧	🟩
26	UUK Accommodation Code of Practice	Jun 21	The review found that the university was compliant with the comprehensive requirements of the UUK Student Housing Code of Practice in the management of its halls of residence.	🟩	🟩
27	Safeguarding	Jun 21	The auditors confirmed that the university has in place sound arrangements for Safeguarding. An updated Safeguarding Policy and Procedures, which was published in Autumn 2020, was found to be comprehensive and appropriate, with additional measures supplemented to deal with the challenges of being online during lockdown.	🟩	🟩
28	Management of arrangements for DBS certification	Jun 21	It was found that arrangements for ensuring valid DBS checks are made for relevant staff was not wholly reliable. Recommendations to strengthen arrangements were accepted by management and are being implemented.	🟧	🟨
29	OfS Registration Conditions 2020/21	Nov 21	The 2021 review of the report produced by SED on the compliance with the OfS Conditions of Registration produced no significant findings.	🟩	▨
30	Statutory duties relating to KCLSU 2020/21	Nov 21	The 2021 review of the duty on the College to ensure students know they can withdraw from membership of KCLSU and that the KCLSU elections were undertaken in a democratic manner produced no significant findings.	🟩	▨
31	Compliance with Modern Slavery legislation	Nov 21	Overall, processes within the College to comply with the Modern Slavery legislation were found to be sound and well-constructed, although inevitably there has to be a certain amount of reliance placed on vendor assurances.	🟩	▨

#	Title of Review	Reported to ARCC	Key findings and follow-up notes	RAG Rating at Audit End	RAG Rating Nov 2021
32	Consumer Protection Legislation and CMA requirements	Nov 21	This review noted that King's has put in place a series of arrangement to ensure it complies with the relevant legislation and CMA requirements. A key indicator of the degree of compliance is the level of student complaints received and particularly those upheld – which is low at King's. The review was able to conclude that the College is largely compliant with the relevant legislation, with action underway in the small number of areas where it is not yet.	🟩	▨
Value for Money					
33	Accounting for Furlough leave	Nov 20	This audit reviewed the roles, responsibilities, policies, and financial aspects of the furlough scheme applications made in 2020 during the pandemic. Key findings were: • The process was outside the HR system, so data capture & recording was manual, with increased risk of error • There was a high dependence on the Payroll Manager and the ability to gather data locally quickly • Testing provided assurance that calculations and applications complied with HMRC guidance. • There were many examples of good practice during the furlough process such as increased staff engagement. The auditors considered it to be an example of effective cross-functional collaboration at the College.	🟩	🟩
34	Management of assets used for remote working	Nov 21	A review of asset management of goods supplied for homeworking during COVID found that policies had been developed to support remote working, providing guidelines on home office set up. Recommendations included improvement for documenting asset location, cost benefit analysis for disposals and appropriately tagging kit.	🟧	▨
35	Charging in the Biological Service Units	Nov 21	The audit concluded that adequate systems and procedures are in place within the BSU to provide animal research facilities and resources for researchers. Recommendations were made to: • Consider the basis upon which the TRAC costing system price calculation was made. • Improve systems to ensure that recharges are undertaken in a timely manner and projects can cover their costs	🟧	▨
Data Quality					
36	The Management & Governance of Research Data	Nov 21	This walk-through review of data management processes with researchers found that: • There was an abundance of resources to help researchers, but they weren't always well-advertised or known. • on the King's website and intranet pages, sin order to examine the researchers' experience • Significant investment was being made in an e-Research function which will create standards. The creation of a clearly set-out hub to house research data domain information in one place was recommended.	🟧	▨

Third Party Reviews

37	Cyber Security	Jun 21	The Cyber Security review undertaken by PA Consulting concluded that: • King's has good ability to detect cyber security incidents and an excellent ability to respond to them. • Protective measures were found to have been enhanced over the previous two years. The overall assessment was that much progress had been made but more was required. Subsequent activity has started to address some of the major issues still present.	🟧	🟨

Special Investigations

38	CL3 & BSU Research Facility Infrastructure Management	Nov 21	The Business Assurance team was requested to undertake a lesson learnt exercise relating to the development of a Containment Level 3 laboratory facility and the failure of air handling units in a BSU, both at the Hodgkin Building on the Guys Campus. There was a high degree of commonality between the issues in so far as they were connected with the management of engineering within Estates and related to facilities which are regulated and licenced by the Home Office. The review made a number of observations relating to the lack of in-house expertise to support facilities of this type and the problems associated with trying to develop these facilities in aging buildings with outdated existing plant. The importance of sound communications was also underlined by the review as was the importance of having all of the right people assessing business cases in light of the engineering challenges at the right time before approvals are given.	🟥	▨
39	MRC Salary Recharges at the IoPPN	Nov 21	An investigation arose from a question raised by the Joint R&D Office of South London and Maudsley NHS Foundation Trust (SLaM) and King's (IoPPN), relating to the salary recharges for a Principal Investigator who was co-funded by the MRC London Institute of Medical Sciences and SLaM. During the review, it became clear that a further contribution was also being made by a Pharmaceutical Company. At first instance, it appeared that the academic was receiving multiple salaries, but on further investigation, it was found that it was the university which was receiving recharges amounting to 150% of his salary, but none of this additional benefit was being passed on to the member of staff in question. Following the review, retrospective corrections were made to the recharges. The review also helped clarify some confusion which had grown around who employed the PI and under whose terms and conditions he should be working.	🟧	🟩

Risk Topic: Financial Sustainability

The ARCC members received a presentation on the Size and Shape project, through the lens of financial sustainability. It was noted that the College has just passed its student numbers growth target for 2029 in the current admissions cycle, but it has not reached its target for income and operating surplus. Size and Shape has been the quantitative planning framework used by the College, which laid out at a high level a plausible 'central case' for how King's would look as a university in 2029, in terms of student intake, staff numbers, disciplinary mix, cost, quality and outputs. The central case sought to optimise outcomes for King's within the constraints of the funding model that it operates within. As an exercise it emphasised the significant impact of inflation and the economics of our different activities. It is planned to update the central case regularly and a stocktake of the framework was first undertaken in 2020. This highlighted where progress had been made and where the stubborn issues were located. The central case was not updated at that point, since there were too many unknowns in the system, including government intentions around funding for research and the approach to undergraduate home fees. The conversation with ARCC was to provide assurance to members about how the Executive were looking at this. In relation to this, four key points were highlighted:

1. Whilst the university undertakes a slight changeover in its strategy cycle, it is important to articulate why King's needs the headspace to invest.
2. There is an enhanced sense of potential from the Covid period and an ability to drive change. Some new ways of thinking about things are emerging in the university and there is a new confidence.
3. Roles and responsibilities are becoming clearer and performance management is becoming more systematized.
4. It is becoming clearer that financial sustainability and the need to invest in the refresh is central to the success of the strategy. There needs to be clarity around how we fund the new strategy.

It was also noted that there are some key challenges, of which the greatest is the inherent complexity of university funding. The Vice President (Finance) commented that it was important to have the conversation about financing the strategy up front. In particular, it would be important for the Deans to understand what the university had considered important to invest in for growth and for them to maintain the momentum through the programme. There was an expectation that the base case would be finalised in the next few weeks, but it had to gain traction over a longer period to be successful. It is likely to take over a year to embed properly, and the university will be looking to have enough in the base case to provide innovation to motivate staff to perform their high-quality research and teaching.

The Principal observed that the College must be cautious moving forward. He noted that the aim when Size and Shape was first conceived was to reach the optimum with a surplus for 6% in hand for investment. The College has reached its size objectives with only 2.7% surplus in hand. This illustrated the size of the challenge and meeting it would not be straightforward.

Members asked how much downside modelling had been done. It was noted that a number of challenges were raised in the five-year planning process and a baseline is set every year to cover inflation. Last year the Executive had undertaken a deeper analysis and identified a number of areas of potential. It was noted that the resource allocation model is not currently as robust as it should be at the top level, largely because there is a great reliance on the Business School to generate margin whilst some faculties have historic deficits and inherent challenges to creating a surplus.

The Chair noted that it would be important to make sure that all the different governance committees were aligned and consistent in what they were considering around the strategy and creating the financial headroom to ensure the appropriate investments could be made.

King's College Council

Meeting date	23 November 2021
Paper reference	KCC-21-11-23-07.3
Status	Final

Report of the Academic Board

Contents	Meeting at which considered	Consent agenda	Council action
1. Ongoing Conditions for OfS - **Annex 1**	3 November 2021	Yes	Approve
2. Action Plan against the Researcher Concordat **Annex 2**	18 Aug 2021 CRC	Yes	Approve
3. Terms of Reference – CEC and CRC – **Annexes 3 & 4**	3 November 2021	Yes	Approve
4. Academic Board elections results	3 November 2021	Yes	Note
5. Research [strategic discussion]	3 November 2021	Yes	Note
6. Student Experience – progress and initiatives update	3 November 2021	Yes	Note
7. Equality, Diversity and Inclusion	3 November 2021	Yes	Note
8. Online Professional Education	3 November 2021	Yes	Note
9. External Examiners Overview Report	3 November 2021	Yes	Note
10. School merger in FoLSM	3 November 2021	Yes	Note
11. Academic Board Committee reports	3 November 2021	Yes	Note
12. Regular items approved or noted	3 November 2021	Yes	Note

For approval

1.   Ongoing Conditions for Office for Students (OfS) 2021/2022 (Annex 1)
Motion: That the annual OfS report on King's conditions of registration, be approved.

Background: The OfS monitors higher education providers using 'lead indicators, reportable events and other intelligence such as complaints'. As part of this monitoring the OfS expects higher education providers to continue to meet ongoing conditions of registration, including any new conditions introduced since the initial registration process. Governing bodies of universities have a requirement to receive assurance from their Academic Board that academic governance is effective.

The report has been drafted to provide to Council:
•   confirmation of conditions that have not changed since the initial registration process.
•   confirmation of meeting any revised conditions introduced due to Covid-19.

2.   Action Plan against the Concordat to Support the Career Development of Researchers (HR Excellence in Research Action Plan) (Annex 2)
Motion: That Council endorse the Action Plan against the Concordat to support the Career Development of Researchers and authorise the Chair to give final approval on Council's behalf following its endorsement by the Academic Board.

Background: The College Research Committee approved the updated Action Plan at its August meeting and discussed faculty engagement with the Action Plan.

The accompanying paper (**Annex 2**) describes the Action Plan against the Concordat to Support the Career Development of Researchers. This is required as a condition of King's having signed the Researcher Concordat and by funders when they are considering future awards of grants. An internal action plan is to be approved

annually by College Council. On alternate years this action plan is also submitted for renewal of the HR Excellence in Research Award for external accreditation of our compliance.

Council is also invited to:
- Note the progress made on the Research Culture Task & Finish Group projects as the priority projects identified by this committee
- Note that contributions are being made from across the university, reflecting the increasing engagement with this initiative, and that plans are under way for more effective communication of the content and sessions to enable sharing of best practice.

The Action Plan is being presented directly to Council and will be presented to the 8 December Academic Board meeting for endorsement.

3.   Terms of Reference – College Education Committee (CEC) and College Research Committee (CRC)

Motion: (i)   That amendments to the Ordinance concerning the CEC Terms of Reference, be approved. **(Annex 3)**

(ii)   That the amendments to the Ordinance concerning the CRC Terms of Reference, be approved. **(Annex 4)**

Background: The amendments are minor and largely reflect changes in subcommittee and staff structures. Notice of the request to amend the Ordinances was provided to Council within the 14 day requirement.

For note

4.   Academic Board – Election result for new member of Council
It was reported that Academic Board member, Dr Hillary Briffa, had been elected as the new staff member of the College Council.

5.   Research – strategic discussion
Academic Board received a presentation on the principles for the future of the College's research environment in the context of the university-level strategy refresh. Academic Board were invited to discuss seven core themes and feedback from those discussions was provided to the Vice President (Research) and the Research Strategy & Development Lead.

6.   Student Experience – progress and initiatives update
The Executive Director (Students & Education) updated the Board on progress and initiatives on the student experience which comprised a range of activities aiming to engage students beyond the classroom, taking into consideration the differential in starting points for those recently joining King's due to the pandemic:
- establishment of King's Edge – a range of opportunities including language learning, internships and volunteer opportunities;
- consideration of transitions in; and
- Academic Strategy Group – focus on: extension of skills provision, eg, academic skills for learning; extension of the welcome period over the course of the year (including inclusion of second year students); and student mental health and wellbeing – creation of a new team bringing together staff from the centre, from faculties and in partnership with KCLSU.

7.   Equality, Diversity & Inclusion
The Board received presentations from the Equality, Diversity & Inclusion team on: Menopause and Menstruation Policies and Guidance; and the Race Equality Charter Mark. The Board would receive more detail in due course on a disability and inclusion programme being rolled out in January as a pilot project in three faculties and three directorates.

8.   Online Professional Education
Academic Board approved an updated framework to facilitate flexible lifelong learning at King's. The paper received by the Board set out an updated proposal to enable the expansion of flexible, online, continuing Professional Development (CPD) at King's.   The momentum behind the project had been building and

membership of the working group included at least one member from each faculty as well as from professional services. The aim – to shift life-long learning from fringe activity to core – required a framework. Every faculty would have their own distinct role to play in making the proposal a reality.

9.   External Examiners Overview Report
Assurance was provided to the Academic Board that standards had been met as elsewhere in the sector.

10.   School Merger in FoLSM
The Executive Dean of the Faculty of Life Sciences & Medicine reported on the merger of the School of Life Course Sciences and the School of Population Health and Environmental Sciences to become the School of Life Course and Population Sciences. The merger was effective from 8 November 2021.

11.   Academic Board sub-Committee reports
Reports approved and noted as part of the Unanimous Consent Agenda:

College Education Committee:
* *Mitigating Circumstances Policy (**approved**)*
* *Statement on Assessment Policy – update for 2021/22*
* *Student Feedback on Assessment Policy*
* *PSRB Update: FoDOCS & FoLSM*
* *Academic Strategy Sub-Group Report: Evaluation*
* *Education Governance Update*
* *Guidance and Proposals for use of the College Teaching Fund*
* *Enabling Student Success – rewarding inclusion efforts in academic promotion*
* *Assessment Planning for 2021/22 and beyond*
* *Academic Misconduct Guidance on Penalties*
* *King's First Year – Gateway to King's*
* *Academic Lead for Assessment and Feedback*
* *Response to the OfS Consultation on Quality & Standards*
* *Report & Support and the OfS statement on preventing and addressing harassment and sexual misconduct*
* *Study Abroad Simplification Update*
* *Amendment to Academic Appeal T44 to allow appeals for MCFs*
* *Quality Assurance Handbook Update 2021/2022*
* *Supporting Students Update*
* *Formation of King's Education*
* *Community Charter: Current position & future plans*
* *Equality, Diversity & Inclusion Update*
* *Curriculum 2029 Update*
* *College Teaching Fund Report 2020/2021*
* *CEC Terms of Reference and membership 2021/22*
* *CEC Schedule of Business 2021/22*

Academic Standards Sub-Committee (all **approved**):
* *Amendment to Academic Regulation T44 to allow appeals for MCFs*
* *Amendment to Academic Regulation T43*
* *Amendments and corrections to the Academic Regulation*
* *KBS Supplementary Academic Regulations 2020/21 and 2021/22*
* *Undergraduate Progression and Award Policy*

College Service Committee
* *Refugee Sponsorship*
* *Service-learning and King's First Year*
* *Community Organising Training*
* *King's Volunteering*

- *Building the Service ethos into research for better outcomes*
- *Social Impact Data Stocktake*
- *Research Impact Stocktake*

12. **Other items approved or noted**
   - *(i)* Principal's report on key current matters
   - *(ii)* KCLSU President Report
   - *(iii)* Report from Council
   - *(iv)* The Dean's report
   - *(v)* Election of Associates of King's College (AKC) (**approved**)

Annual Report to Council: ongoing conditions for Office for Students 2021/22

Introduction

The Office for Students (OfS) was established 1 January 2018. The OfS are now fully operational and monitors higher education providers using "lead indicators, reportable events and other intelligence such as complaints"[1]. As part of this monitoring the OfS expects higher education providers to continue to meet ongoing conditions of registration, including any revised conditions since the initial registration process.

Governing bodies of universities also have a requirement to receive assurance from Academic Board that academic governance is effective. The CUC[2] Code states: 'the governing body receives assurance that academic governance is effective by working with the Senate/Academic Board or equivalent as specified in its governing instruments in order to maintain quality.'

The intention of this report is therefore to provide:
- King's College Council with assurance that OfS ongoing conditions of registration are being met.
- King's College Council with assurance that appropriate quality assurance processes have been conducted in the academic year 2020/21 (see appendix 2). Where applicable updates on previously reported KPI's[3] are included in the report.
- An update on any changes to conditions of initial registration, introduced by OfS during 2020/21.

Due to the volume of conditions of ongoing monitoring, appendices have been used to report an update on each condition, where applicable. If the condition of registration is unchanged there will be no update reported.

Failure to comply with these ongoing conditions of registration will result in the OfS asking the QAA[4] to conduct a Quality and Standards Review. This review is the process QAA will use to provide evidence to the OfS about whether providers referred by the OfS are meeting one or more of the Core Practices of the UK Quality Code for Higher Education (the Quality Code). Additionally, the OfS may also impose a monetary penalty to a provider if it appears to the OfS that they are in breach of the ongoing conditions of registration. Depending on the severity of the breach, the OfS may also determine to suspend or deregister a provider[56].

OfS Oversight Committee

The College has established an OfS Oversight Committee, with areas involved with each Ongoing Condition of Registration having a representative sit on the Committee. The Committee has inputted

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[1] Office for Students: Securing Secret Success: Regulatory framework for higher education in England
[2] Committee of University Chairs
[3] Key Performance Indicators
[4] Quality Assurance Agency in Higher Education
[5] https://www.officeforstudents.org.uk/media/2f8f3591-ed72-4827-a16d-bd4e383d7226/ofs-scheme-of-delegation-3-july-2019-version-8.pdf para 29.
[6] The OfS commenced consultation on the monetary penalties in March 2020, but suspended the consultation when Covid-19 pandemic occurred (https://www.officeforstudents.org.uk/publications/consultations/)

into the following consultations during the year: B conditions Quality and Standards (both the November 2020 B3 consultation and the recent consultation on Quality and Standards – see Appendix 2 for further information), Recurrent funding 2021/22 and Distribution of capital funding for financial year 2021-22.

Section A: Office for Students Ongoing Conditions of Registration
The OfS regulatory framework[7] notes the following:

"To remain registered, a provider must continue to meet the definition of 'an English higher education provider' and must demonstrate that it satisfies the ongoing general conditions of registration applicable to the category of the Register in which it is registered. It must also satisfy any specific ongoing conditions that have been applied. Likewise, the OfS will have regard to its general duties in applying any ongoing specific condition of registration" [Securing student success: Regulatory framework for higher education in England, para 113].

The general ongoing conditions of registration are as follows, and the table indicates whether updates are required to be reported to Council and potentially OfS (if the updates necessitate a change in the information provided to the OfS as part of the initial registration process):

General ongoing conditions of registration		Continue to meet condition of registration: Y/N	Appendix noting pertinent updates
A: Access and participation for students from all backgrounds			

Condition A1	An Approved (fee cap) provider intending to charge fees above the basic amount to qualifying persons on qualifying courses must:
	   i. Have in force an access and participation plan approved by the OfS in accordance with the Higher Education and Research Act 2017 (HERA).
	   ii. Take all reasonable steps to comply with the provisions of the plan.
		Y	See appendix 1 to update on 2019/20 monitoring and APP renewal.

Condition A2	An Approved (fee cap) provider charging fees up to the basic amount to qualifying persons on qualifying courses must:
	   i. Publish an access and participation statement.
	   ii. Update and re-publish this statement on an annual basis.
		Y	n/a

B: Quality, reliable standards and positive outcomes for all students			
Condition B1	The provider must deliver well designed courses that provide a high-quality academic experience for all students and enable a student's achievement to be reliably assessed.	Y	See appendix 2 for update on how this was managed

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[7] Securing student success: Regulatory framework for higher education in England: https://www.officeforstudents.org.uk/media/1406/ofs2018_01.pdf

			during 2020/21
Condition B2	The provider must support all students, from admission through to completion, with the support that they need to succeed in and benefit from higher education.	Y	See appendix 2 for update on how this was managed during 2020/21
Condition B3	The provider must deliver successful outcomes for all of its students, which are recognised and valued by employers, and/or enable further study.	Y	See appendix 2 for update on how this was managed during 2020/21
Condition B4	The provider must ensure that qualifications awarded to students hold their value at the point of qualification and over time, in line with sector recognised standards.	Y	See appendix 2 for update on how this was managed during 2020/21
Condition B5	The provider must deliver courses that meet the academic standards as they are described in the Framework for Higher Education Qualifications at Level 4 or higher.	Y	See appendix 2 for update on how this was managed during 2020/21
Condition B6	The provider must participate in the Teaching Excellence Framework and Student Outcomes Framework.	Y	See appendix 2 for update on TEF
C: Protecting the interests of all students			
Condition C1	The provider must demonstrate that in developing and implementing its policies, procedures and terms and conditions, it has given due regard to relevant guidance about how to comply with consumer protection law.	Y	See appendix 3 for update on how this was managed during 2020/21

Condition C2	The provider must:
	   i. Co-operate with the requirements of the student complaints scheme run by the Office of the Independent Adjudicator for Higher Education, including the subscription requirements.
	   ii. Make students aware of their ability to use the scheme.
		Y	See appendix 3 for update on how this was managed during 2020/21

Condition C3	The provider must:	Y	See appendix 3 for update

	i. Have in force and publish a student protection plan which has been approved by the OfS as appropriate for its assessment of the regulatory risk presented by the provider and for the risk to continuation of study of all of its students. ii. Take all reasonable steps to implement the provisions of the plan if the events set out in the plan take place. Inform the OfS of events, except for the closure of an individual course, that require the implementation of the provisions of the plan.			on how this was managed during 2020/21
Condition C4 **[NEW]**	Student protection directions		Y	See appendix 3 for this new condition
D: Financial sustainability				
Condition D	The provider must: i. Be financially viable. ii. Be financially sustainable. iii. Have the necessary financial resources to provide and fully deliver the higher education courses as it has advertised and as it has contracted to deliver them. iv. Have the necessary financial resources to continue to comply with all conditions of its registration.		Y	n/a
E: Good governance				
Condition E1	The provider's governing documents must uphold the public interest governance principles that are applicable to the provider.		Y	n/a
Condition E2	The provider must have in place adequate and effective management and governance arrangements to: i. Operate in accordance with its governing documents. ii. Deliver, in practice, the public interest governance principles that are applicable to it. iii. Provide and fully deliver the higher education courses advertised. Continue to comply with all conditions of its registration.		Y	n/a
Condition E3	The governing body of a provider must: i. Accept responsibility for the interactions between the provider and the OfS and its designated bodies.		Y	n/a

	ii. Ensure the provider's compliance with all of its conditions of registration and with the OfS's accounts direction. Nominate to the OfS a senior officer as the 'accountable officer' who has the responsibilities set out by the OfS for an accountable officer from time to time.		
Condition E4	The governing body of the provider must notify the OfS of any change of which it becomes aware which affects the accuracy of the information in the provider's entry in the Register.	Y	See appendix 4
Condition E5	The provider must comply with guidance published by the OfS to facilitate, in co-operation with electoral registration officers, the electoral registration of students.	Y	n/a
Condition F: Information for students			
Condition F1	The provider must provide to the OfS, and publish, in the manner and form specified by the OfS, the transparency information set out in Section 9 of HERA.	Y	See appendix 5
Condition F2	The provider must provide to the OfS, and publish, information about its arrangements for a student to transfer.	Y	n/a
Condition F3	For the purpose of assisting the OfS in performing any function, or exercising any power, conferred on the OfS under any legislation, the governing body of a provider must: i. Provide the OfS, or a person nominated by the OfS, with such information as the OfS specifies at the time and in the manner and form specified. ii. Permit the OfS to verify, or arrange for the independent verification by a person nominated by the OfS of such information as the OfS specifies at the time and in the manner specified and must notify the OfS of the outcome of any independent verification at the time and in the manner and form specified. iii. Take such steps as the OfS reasonably requests to co-operate with any monitoring or investigation by the OfS, in particular, but not limited to, providing explanations or making available documents to the OfS or a person nominated by it or	Y	See appendix 5

	making available members of staff to meet with the OfS or a person nominated by it. The requirements in paragraphs (ii) and (iii) do not affect the generality of the requirement in paragraph (i).			
Condition F4	For the purposes of the designated data body (DDB)'s duties under sections 64(1) and 65(1) of HERA, the provider must provide the DDB with such information as the DDB specifies at the time and in the manner and form specified by the DDB.		Y	See appendix 5
G: Accountability for fees and funding				
Condition G1	A provider in the Approved (fee cap) category must charge qualifying persons on qualifying courses fees that do not exceed the relevant fee limit determined by the provider's quality rating and its access and participation plan.		Y	n/a
Condition G2	A provider must comply with any terms and conditions attached to financial support received from the OfS and UK Research and Innovation (UKRI) under sections 41(1) and/or 94(2) of HERA. A breach of such terms and conditions will be a breach of this condition of registration.		Y	n/a
Condition G3	The provider must pay: i. It's annual registration fee and other OfS fees in accordance with regulations made by the Secretary of State. The fees charged by the designated bodies.		Y	See appendix 6

New conditions

On 3rd July 2020 the OfS, in response to Covid-19 pandemic, introduced a time-limited Condition of Regulation: Condition Z3: Temporary provisions for sector stability and integrity[8]. This condition ended 30 September 2021. This condition allowed the OfS to take action against higher education providers that used offer-making practices that would not be in the interests of students and the wider higher education sector, during these exceptional circumstances (see appendix 7 for further information).

On 31st March 2021, the OfS introduced a new condition to *Protecting the interests of all students.* This condition (C4: Student Protection Directions) enables the OfS to intervene more quickly and in a targeted way when they consider there to be a material risk that a registered provider may cease the provision of higher education (see appendix 3 for further information).

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[8] https://www.officeforstudents.org.uk/media/e2e8c6e5-b713-416a-8abc-cb40fbed6947/regulatory-notice-5-temporary-condition-z3.pdf

Conclusion

Assurance can be given that King's continues to meet the ongoing conditions of registration of the Office for Students.

Additionally, as Appendix 2 highlights, King's has the necessary quality assurance processes in place to enable it to set and maintain appropriately the standard of King's awards and to identify and act upon areas of the student academic experience that require improvement. Where such areas are identified, oversight of action taken is maintained through the institutional governance structure.

Appendix 1:
Condition A update: Access and participation for students from all backgrounds

The OfS approved the 2020/21-2024/25 Access and Participation Plan, which is automatically rolled over each year subject to satisfactory progress. The 2020-2025 APP OfS approval came with an 'enhanced monitoring' requirement. This is not a formal condition of registration, but is used when the OfS identifies a specific area that they expect to see further action or greater demonstrable progress in. A report on this area specifically is required in addition to the 'standard' light touch annual monitoring.

In February 2021 the Director of Fair Access and Participation (OfS) wrote to the Principal as Accountable Officer to confirm that the approval of our Access and Participation Plan will roll over for the 2021/22 academic year on the same basis as the previous approval. Should circumstances change during the academic year 2021/22, and/or subject to the monitoring completed for 2019/20 and 2020/21, then the OfS can revisit this decision. If their view of the risk of meeting commitments has changed then they may be unable to approve the plan for a further year and a new plan would be required.

In April 2021 we submitted the APP monitoring report for the year 2019/20. This covers our performance on Access (widening participation) and Student Success (continuation and attainment) targets and level of investment against commitments set originally with the Office for Fair Access over the period 2012/13-2019/20. We therefore have a picture of our long-term performance, and now turn to new strategic targets for the next five years. In addition to the targets and expenditure report, the OfS template required us to address the following questions:

1. What impact has the Covid-19 pandemic had on the delivery of the outcomes detailed in the 2019/20 access and participation plan?
2. What actions have you taken to mitigate the impact of Covid-19 on underrepresented students? Please note whether you have records of decisions made, and whether you consulted students on the actions taken.
3. What impact has the Covid-19 pandemic had on the delivery of the outcomes detailed in the 2020-21 onwards access and participation plan?

We were also asked to detail how we engaged students in changes made in 2019/20 and 2020/21 and whether we have adopted the recommendations from the Disabled Students' Commission.

We reported on significant widening participation successes in 2019/20, with all but one target successfully met or exceeded. The target on student attainment (awarding of Firsts to BME students) was not met but progress was in a positive direction. These targets have now been replaced with new ones covering 2020/21-2024/25.

Although the monitoring relates to 2019/20, the OfS are using the return to take a snapshot of the sector's mitigations for Covid-19 for 2020/21 as well to understand if the pandemic

has had any impact on the specific onward commitments made for 2020/21. This could in turn change their view of an institution's level of risk in terms of meeting targets.

In the letter approving King's College London Access and Participation Plan 2020/21-2024/25 (dated August 2019) the Office for Students identified the following specific information to be included in future monitoring. Although the approval letter applies to the APP from 2020/21 onwards, the OfS requested this information on work in 2019/20 to lead into the subsequent APP. This was therefore requested via the 2019/20 monitoring return.

Each section requested provides further detail on work done and outcomes/outputs achieved in 2019/20 as part of our APP governance and delivery, and to put us in as strong a position as possible to then deliver our APP 2020/21-2024/25. They are laid out as they are detailed in the August 2019 approval letter (page numbers refer to the APP):

i) Conduct further analysis during the first year of this plan [2020/21], to clearly articulate how [IMD] interacts with POLAR and the OfS KPM relating to underrepresentation (p8)
ii) Closely monitor PQ1 access performance... [and] at the end of 2022/23... establish whether we require an additional target focussing on PQ1 specifically and install this (p10)
iii) Enhancing our approach to contextual admissions (p14)
iv) Developing national work to target cold spots (p14)
v) Expanding attainment raising activity (particularly post-16) (p14)
vi) Conduct a research project, supported by a doctoral studentship, to research the use of financial incentives to attend university and to succeed while there (p29)

These are areas the OfS have identified when approving our five year APP as of strategic importance or where specific activity is needed to provide reassurance as part of the risk monitoring.

We expect to receive confirmation of our monitoring return in September 2021 and are moving into the delivery of the 2021/22 APP.

In line with OfS requirements, the APP is hosted on King's website here: https://www.kcl.ac.uk/study/widening-participation/ofs

The Associate Director of Widening Participation has oversight of the Access and Participation Plan. Reporting is via the Senior Management Team for activity relating to Vision 2029 delivery and to Council for activity relating to academic policies and practice.

Appendix 2:
Condition B update: Quality, reliable standards and positive outcomes for all students

This part of the ongoing conditions continues to be demonstrated by the OfS conducting desk-based research, using public information such as HESA data, OIA complaints data, and NSS results to assess whether we continue to meet their benchmarks.[9] If the OfS determine we are not meeting their benchmarks, or there is a concern in our meeting the conditions of registration, then they will ask the QAA to conduct a Quality and Standards Review. It is assumed that we will not be required to hold a review in the immediate future.

As noted above, OfS are consulting on the Conditions B, and the proposed revisions will change significantly if they go ahead. The proposed conditions will include research degrees and any Transnational Education (TNE) provision (currently not part of the Ongoing Conditions of Registration). The OfS will continue to use desk-based evidence to review whether we continue to meet these ongoing conditions, and next year's report will report on how we meet these ongoing conditions, but this is an illustration of how King's needs to continue to review its quality assurance processes to ensure we continue to meet OfS changing Ongoing Conditions of Registration.

Assurance can be given that King's does continue to review its quality assurance processes, ensuring compliance with external regulatory developments and the following work completed during 2020/21 demonstrates this commitment to continue to meet the conditions of Condition B: Quality, reliable standards and positive outcomes for all students:

Condition B1: high-academic experience and student's achievement is reliably assessed
Work continues on implementing the Education Strategy 2017 – 2022, which will provide our students with a high-academic experience and enable a student's achievement to be reliably assessed in future year. During 2020/21 the following updates were reported to College Education Committee and Academic Board (where appropriate):
- Flex conversations were relaunched with faculties in June/July. Proposals for minors and interdisciplinary modules will be submitted to the College in December 2021 for discussion by Curriculum Commission in January/February 2022.
- All PGT programmes (where required) have been harmonising their credit values to multiples of 15 (rather than the previous multiples of 20).

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[9] https://www.qaa.ac.uk/reviewing-higher-education/quality-assurance-reports/King-s-College-London

- The Curriculum Commission met in June 2021 to (a) receive an update on how Faculties are progressing with their implementation of outcomes from Curriculum Commission and (b) to make some further approvals from three faculties. The June meeting of Academic Board received the update from this meeting.
- Gateway to King's First Year has been approved in principle at College Education Committee (May 2021 meeting), where it was agreed that this module would be an additional 15 credits for students to take in their first year. Those programmes that would be able to incorporate the module into their existing 120 credits were welcomed to do this.
- The C2029 project board in July 2021 received an update on the research workstream and innovation modules.

Continued Covid-19 mitigation in 2020/21

In response to the continued impact Covid 19 was having on student learning the following was implemented:

Teaching and learning:
- Where possible at the start of the year hybrid learning was put in place, with lectures held online and small seminars held on campus. Where it was required, this teaching was pivoted to online learning, with November 2020 moving everything online due to the lockdown measures London was placed under. In the summer term, students who were unable to access laboratory facilities due to lockdown, were given the opportunity to come on-campus and access clinical work.
- To support staff and students, a webpage with dedicated resources to support online teaching was available.
- Continuing to work with KCLSU and faculties, student feedback was gathered throughout the year.
- To review action undertaken, the Academic Strategy Group has established a number of sub-groups. These sub-groups provided to the Academic Strategy Group lessons learned and identified any good practice to aid with teaching and learning in 2021/22.

Assessments

As with 2019/20, a set of principles was agreed to inform our approach to assessment:

1. Our priority is the wellbeing of both students and staff, and an approach which offers fairness and equity for all students across the university.
2. We are committed to the protection of academic standards and the quality of our students' education, as well as the integrity and standing of the degrees and professional training they will take from King's.

3. We will ensure that all assessments are inclusive and fair for all students and introduce an integrated package of enhanced mitigation arrangements to this end.
4. We will provide as much academic continuity as possible for our students and seek to support all students to progress as planned and to graduate on time.
5. Our approach should be guided by lessons we have learned from 19/20 in relation to the effectiveness and impact of particular measures.

Taking into consideration these principles, the following outlines the approach taken to mitigate against Covid-19:

- Academic Board agreed in June 2020 to continue to remove the first-year marks from the degree algorithm calculation. The aim was to take some of the pressure off of the first-year students without compromising academic standards, whilst also recognising the new degree algorithm, shortly to be introduced, had removed the first-year from the equation.
- Faculties continued to redesign assessment formats to ensure that the volume and formats of assessment were suitable for ensuring fairness, consistency and rigour in the context of the flexible academic model, with a much greater proportion of teaching, learning and assessment online.
- Students were supported with access to equipment and a suitable study environment, where able. This meant providing students with laptops and dongles and learning spaces when the College was able to re-open campuses. Students who had been unable to access clinical laboratories (due to lockdown measure) were given the opportunity during the summer to undertake clinical work.
- As with 2019/20, enhancing mitigating circumstances arrangements were in place. These measures included offering a streamlined process, with students not being required to provide evidence to their claim if it was Covid related.
- As with 2019/20, students were able to choose to defer one or more of their assessments if pandemic-related circumstances necessitated. Guidance was provided to make students aware of potential consequences of deferring e.g. impact on timings of progression and graduation.
- A new mechanism of 'cohort mitigation' for all years was introduced. This was in recognition of the overall impact of the pandemic, alongside any individual impact. A check was carried out at the end of the academic year, comparing the year's cohort profile of outcomes on each programme with previous years, and any necessary adjustments upwards was made to ensure comparability.
- Further enhancements to mitigation in borderline cases for UG and PGT students were introduced. Provisions made last year to apply enhanced mitigation at the point of award where a student's c-score fell in the 2% borderline zone between degree classifications were maintained, but this is now to be applied at the point of final award for all UG students currently in their second year and above.
- Progression modifications introduced in 2019/20 as a mitigation to the pandemic were maintained for 2020/21 i.e. if a student did not meet the minimum requirements but had up to 30 credits in the condonable range, the regulation that prohibits condoned fails from being included in the progression minimum was suspended to enable the student to progress carrying up to 30 deferred credits.

- The Principal authorized the continued use of the College's Emergency regulations as follows:
  - Marking: where marking was unable to be completed in accordance with the marking model assigned to a module then an alternative marking model could be used, with the Chair of Academic Standards Sub-Committee (ASSC) approving the following marking models to be used: double marking for all dissertations; single marking with retrospective sampling of at least 10% for all other work.
  - External Examiners: in the event that an External Examiner was unable to fulfil their duties, this would not impact the assessment process.
  - Assessment: in the event that student was unable to be assessed in the original format, the method of assessment of a module and/or relative weighting of the assessment component could be modified.
  - Assessment Sub-boards: in the event that the Assessment Sub-Board and/or the Assessment Board was inquorate, the Head of Faculty was able to ratify progression/results/awards.

Assessment Sub-Boards will be reviewing how these mitigations have impacted the students' assessment during the Board meetings, and Assessment Boards will report to the Academic Standards Sub-Committee in 2021/22 findings from this review.

Student's Academic Experience
Students' academic experience is monitored by King's via student surveys, including the National Student Survey, Postgraduate Taught Experience Survey and Postgraduate Research Experience Survey. The following outlines the response we had with these student surveys that ran during 2021:

Indicator	Result	Benchmark (average across Russell Group)	Benchmark against sector	RAG rating[i]
NSS 2021 overall satisfaction	73.4%	76.7%	75%	
PTES 2021 overall satisfaction	71%	72%	78%	
PRES 2021 overall satisfaction	79%	79%	80%	

National Student Survey (NSS) 2021
Although responses to the NSS showed a decrease in satisfaction from last year (4.1%), the rest of the sector also saw a decrease in satisfaction (sector decline was 7.1% and Russell Group was 6%). Therefore, King's can have assurance that our decline in satisfaction was not as severe as elsewhere. In fact, King's is just 2% below the sector average (last year we were 5.2% below the sector average) and is above 5 other universities in the Russell Group[10] – which is the best position we have been in since 2011. We have moved from being categorised by the OfS as "*significantly below benchmark*" to "*not significantly different to the benchmark*"[11].

We also saw several other areas move from "*significantly below benchmark*" to "*not significantly different to the benchmark*".

There does, however, continue to be some areas in the survey where the university's results are significantly below the OfS benchmark, as follows*:*
- Question on providing opportunity to apply what has been learnt
- All questions in assessment and feedback
- Questions on receiving sufficient advice and guidance of the programme (including guidance on making study choices)
- Questions on organisational management, student community, and student voice
- Questions on student community

Though it is disappointing that scores have declined, it is a testament to the hard work of staff that many reductions have been relatively small, and in some cases a smaller decrease then seen elsewhere in the sector. This is particularly evident in assessment and feedback (saw a 0.4% decline vs 4% decline in the sector), learning opportunities (0.9% decline vs 3.9% decline in the sector), teaching, (1.2% decline vs 3.9% decline in the sector),), and academic support (1.7% decline vs 5.9% decline in the sector).

Postgraduate Taught Students Survey (PTES) 2021
Unfortunately, the opposite to the NSS occurred with the PTES. Although the sector saw a decline in student satisfaction, King's decline was higher than the sector (sector saw a 4% decline against King's 14%); however, King's was only 1% different to the Russell Group (but 7% different to London universities).

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[10] Manchester, Edinburgh, Birmingham, Newcastle and Cardiff
[11] Office for Students terms

We didn't run the survey in 2020, so comparisons are with results from 2019. We saw a decline in satisfaction in all sections of the survey, but particularly in overall student satisfaction and resources and services. Consideration is therefore required on why there has been such a substantial fall in satisfaction for postgraduate taught students.

Postgraduate Research Students Survey (PRES) 2021
Overall satisfaction has remained at 79%, which is on par with the Russell Group, and just 1% below the sector (King's is also on par with other universities in London). While King's has remained consistent with its satisfaction, the Russell Group has seen a decrease in satisfaction by 3% and the sector by 1%. Assurance can therefore be given that, while our satisfaction levels may not be where we want them to be, we haven't seen a significant drop in satisfaction, unlike with the Postgraduate Taught Experience Survey.

In addition, it should be noted that most question themes have seen an increase in satisfaction (but not all) for example, *supervision* increased by 1%, *responsibilities* increased by 2% and *opportunities* saw the biggest increase by 9%.

Condition B2: Support for all students
The following outlines the support made available to students during 2020/21 (in addition to the norm):

- To support students, a webpage with dedicated resources to support online teaching was available
- Working with KCLSU and faculties, student feedback was gathered on a range of issues, such as the impact of timetabling on online learning and assessment, and equity of access to laptops and Wi-Fi. A process was put in place to ensure students who needed them had access to laptops and Wi-Fi dongles.
- Personal tutors continued to meet with their students, with some tutors increasing the amount of contact with students.
- Many departments introduced activities to build and strengthen the student learning communities e.g. coffee mornings, presentation masterclasses, "lunch with lecturer" series, Study Café, where support is provided for continuous study support for students needing help with coursework, essay writing, analysis and revision, to name just a few activities.
- A digital capabilities programme (called Essential Digital Skills) was developed and made available to all students to help them learn the digital skills required to support their academic, professional, and personal development (4,373 students enrolled onto the programme).

- Enhanced range of work experience initiatives and other activities designed to improve student employability and build a sense of belonging and community were made available to students.

Condition B3: Successful outcomes for all students, recognized and valued by employers, and/or enable further study

We now have the results for a second year of the Graduate Outcome Survey (GOS) for the 2018/19 leavers. The initial impact of COVID on destinations would only have appeared for those 2018/19 graduates who were surveyed in the second half of the GOS survey year (i.e. with the census weeks after the first March 2020 lockdown). This is nearly all 2018/19 Undergraduates and over half of the Postgraduate Research responses. Employment figures below includes those graduates who were on furlough at the time of completing the Survey. The full impact of COVID on graduate destinations, especially on employment opportunities, isn't expected until the 2019/20 graduates survey results are available next year.

For the 2018/19 cohort, King's had an overall response rate of complete responses of 48% (only complete survey responses count towards the HESA targets). We met the HESA response rate targets for Overseas and Other EU sub-cohorts but failed to meet the targets for UK Full-Time (54% instead of target 60%), UK Part-Time (56% instead of target 60%) and Research Council funded (60% instead of target 65%). This destination survey is operated centrally by HESA, and we are explicitly forbidden to engage with graduates directly when the survey starts, so response rates are out of our control. Although, we didn't meet all the response rate targets in 2018/19 our response rates for all the target groups were above the Sector averages. In 2018/19 we also had higher response rates than 2017/18 for all the HESA Response Groups, except for Overseas domiciled students where we were 1% lower than 2017/18, but still above the HESA response rate target and the Sector average.

The key data below includes complete and partial responses. Please note that the 2017/18 data below may not match data previously reported, as HESA have since updated the final data provided to Universities (including using updated occupational coding of employment) and due to rounding the percentages may not match totals.

The destination outcomes of 2017/18 leavers have largely been maintained with the 2018/19 graduates, including the Reflections questions on how graduates feel about their destination activities. Unemployment has increased, especially for Undergraduates who were surveyed after the first COVID lockdown. Although, the Postgraduate Research unemployment percentage increase looks large, these are small numbers, so should be viewed with caution (the rounded numbers of unemployed for PGR are 5 in 2017/18 and 15 in 2018/19).

- Activity:
  - Full-time employment: 59% (58% in 2017/18)
  - Part-time employment: 7% (7% in 2017/18)

- o   Employment unknown if full-time or part-time: 1% (1% in 2017/18)
- o   Voluntary/unpaid work for an employer: 2% (2% in 2017/18)
- o   Full-time study: 10% (11% in 2017/18)
- o   Part-time study: 1% (below 1% in 2017/18)
- o   Combined employment and study: 11% (11% in 2017/18)
- o   Unemployment: 4% (3% in 2017/18)
- o   Other (includes those unemployed and due to start work/study): 6% (6% in 2017/18)
- o   Overall 90% are in work or study (91% in 2017/18)
- Unemployment by Level of Study:
- o   Undergraduate First Degree: 6% (4% in 2017/18)
- o   Postgraduate Taught: 3% (2% in 2017/18)
- o   Postgraduate Research 4% (1% in 2017/18)

[UG Other has not been included, as the numbers are too small to be meaningful]

- Level of work:
- o   High-skilled Work: 91% (90% in 2017/18)
- o   Medium-skilled Work: 6% (7% in 2017/18)
- o   Low-skilled Work: 3% (3% in 2017/18)
- Reflections:
- o   Is your current activity meaningful?
- o   48% Strongly agree; 41% Agree (in 2017/18 49% and 40%)
- o   Does your current activity fit with your future plans?
- o   43% Strongly agree; 41.% Agree (in 2017/18 46% and 39%)
- o   Is your current activity utilising your skills?
- o   34% Strongly agree; 40% Agree (in 2017/18 35% and 39%)

For more information/data on the Graduate Outcomes Survey, please visit the Power BI App here.

Condition B4: qualifications awarded to students hold their value at the point of qualification and over time, in line with sector recognized standards

King's keeps an overview of degree outcomes via its Academic Standards Sub-committee and an annual report on good honours degrees is submitted to the Committee at the beginning of the academic year for consideration. For 2019/20, the following table demonstrates how King's compares against the Russell Group:

Indicator	Result	Benchmark (average across Russell Group)	RAG rating[ii]
Percentage of good degrees 2019/20	91%	89.8%	

Though we are slightly above the average for the Russell Group, we are not that far above them, so we can be assured that we are on par with our peers for the awarding of good honour degrees, thus illustrating that amongst the Russell Group universities we are awarding good honours in parity with our contemporaries.

Although we have seen an increase in awarding good honours (in 2018/19 we awarded 86%), the same occurred across the sector, as a result of the mitigations put in place for Covid-19 pandemic. We should however keep this under review to ensure our awards do not result in grade inflation from unexplained reasons.

External examiners

King's continues to utilize external examiners in the ratification of awards, and as usual practice, external examiners are asked to submit an annual report, asking for their confirmation that academic standards have been met. The following table illustrates King's use of external examiners:

External examiner reports 2019/20		RAG rating
Undergraduate		
Percentage of external examiner reports received[iii]	96%[12]	🟩
Percentage of external examiners who had received an induction[iv]	95%[13]	🟧
Confirmation of assurance that academic standards are met[v]	100%	🟩
Percentage of external examiner reports which include a concern on academic standards[vi]	7% (14 out of 193 reports)	🟩
Percentage of confirmation that Faculty made appropriate response to critical comments, approved by Chair of ASSC[vii]	100%	🟩
Postgraduate		
Percentage of external examiner reports received[viii]	97%[14]	🟩
Percentage of external examiners who had received an induction[ix]	96%[15]	🟧

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[12] Although slightly lower than usual, this is due to the Covid pandemic and some external examiners have been unable to submit their reports due to their workload at their own institutions

[13] Two external examiners have not received induction due to admin staff shortages/changes due to Covid disruptions

[14] Although slightly higher than usual, those missing reports are due to the Covid pandemic and some external examiners have been unable to submit their reports due to their workload a their own institutions

[15] Three External Examiners have not received an induction due to administration issues as a result of the Covid pandemic

Confirmation of assurance that academic standards are met[x]	100%	
Percentage of external examiner reports which include a concern on academic standards[xi]	3% (8 out of 288 reports)	
Percentage of confirmation that Faculty made appropriate response to critical comments, approved by Chair of ASSC [xii]	100[16]	

External examiners continue to endorse King's academic standards as equivalent to as or higher than comparable programmes in other Russell Group Universities and confirm that they are in line with QAA's *Framework for Higher Education Qualifications*. No serious issues were raised in the external examiner reports included in this analysis.[17]

Of those external examiners whose 2019/20 reports noted comments impacting academic standards, no one required a separate letter to the external examiner from the Chair of Academic Standards Sub-Committee (ASSC). As with all reports that have raised a concern on academic standards, the Chair of ASSC reviews the comment and provides a response within the report that is then returned to the external examiner with the remaining comments from the programme team.

General themes across 2019/20 external examiner reports were:

- Marking practices: issues highlighted around anonymous marking, use of full range of marks, transparency and consistency between markers.
- Inaccuracies in mark sheets considered by Assessment Sub-Boards.
- Elevated level of high marks, which might lead to grade inflation

All external examiners were complimentary of the College's measures to mitigate against Covid-19 pandemic with many noting that even in the circumstances assessment practices were still rigorous and confirming academic standards of the programmes remained high, even considering the pandemic. Many external examiners also complimented the College on the introduction of the Safety Net, with one external examiner noting, "the safety net rules allow for students to not suffer too much by Covid-19 and I suspect reduced the level of stress in the cohort".

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[16] This is a vast improvement from last year, which was recorded at 53%

[17] As noted in overview reports submitted to Academic Board in December 2020 (AB-20-12-09-09.1) and June 2021 (AB-21-04-28-09.2)

While reports were complimentary, there still remains concerns raised relating to award of high marks, with many external examiners linking the high marks to the type of online assessment introduced to mitigate against the pandemic. For example, one examiner has noted '[marks] was a real problem this year, because of the different assessment procedure forced by Covid-19. Some of the raw marks were evidently too high, and no totally satisfactory translation scheme was possible", while another External Examiner noted the format of MCQ's being open for 24 hour led to an increase in marks. These comments were deliberated when programme teams revised assessment for 2020/21.

Condition B5: deliver courses that meet academic standards as described in the Framework for Higher Education Qualifications at Level 4 or higher
All King's programmes adhere to the *Framework for Higher Education Qualifications* (FHEQ), and this adherence is checked by Faculties at the time the programme is given final approval. Guidance on this can be found in the Quality Assurance Handbook[18]. Additionally, external examiners confirm in their annual reports that the programme under review adheres to the *Framework for Higher Education Qualifications.*

Condition B6: Participation in the Teaching Excellence and Student Outcomes Framework (TEF)
King's submitted a TEF provider submission in 2016 and was awarded a Silver. All institutions were advised by the OfS on 10th June 2021[19] that all current awards were extended "until publication of the outcomes of the next TEF exercise". The expectation therefore is a new award will be granted in 2023.

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[18] https://www.kcl.ac.uk/governancezone/governancelegal/quality-assurance-handbook
[19] https://www.officeforstudents.org.uk/publications/letter-to-providers-tef-update/

Appendix 3:
Condition C update: Protecting the interests of students

Since the initial registration, the following updates are noted for the *Protecting the interests of students* section of ongoing conditions*:*

Condition C1: policies, procedures and terms and conditions have due regard to relevant guidance about how to comply with consumer protection law
The Students and Education Directorate is confident that King's remains compliant with consumer protection law, which applies to the relationship between King's College London and prospective and current undergraduate students. The university adopts a similarly consistent approach to postgraduate and online study.

Material Information and Marketing: The university continues to provide programme information sheets to applicants. Standard offer letter templates are also reviewed annually, and advice is sought from legal compliance.

The General Terms and Conditions are reviewed annually with the General Counsel. The revised Terms and Conditions were approved by Academic Board Chair's Action during summer of 2021.

General information about the experience and status of staff is publicly available on the King's website.

Student Ambassadors are recruited annually for Open Days. This process is centralised and coordinated by the central Marketing team. For both on-campus and virtual events, training is provided to ensure everyone is confident in what to say to prospective students. For non-admissions staff based in the Marketing team or Wider Participation team, the Admissions team continue to run a two-hour training session covering how to use the telephone system and scripts to answer calls and deal with enquiries regarding course vacancies and meeting entry requirements.

Fees: King's is fully compliant with regard to fee publication. For prospective students, fees are published on course webpages. Students are notified by Registry Services how to access information on fees three months before they are due to enrol for their next year of study.

Complaints: Complaints at King's are managed through the Student Conduct and Appeals Office. Any CMA-related complaints are brought to the attention of the CMA Working Group by the Head of Student Conduct and Appeals. All timeframes, practices and principles recommended by the OIA are embedded within King's procedures and detailed in the G31 Regulation and associated appendix.

Any issues falling within the remit of the Advertising Standards Authority are routed through the Marketing team, but the CMA Working Group have oversight of any formal complaints.

Condition C2: co-operate with requirements of student complaints scheme run by the Office of the Independent Adjudicator for Higher Education, including the subscription requirements [new condition]

Complaints and Appeals 2020/21	RAG rating
Compliance with the OIA's good practice framework: handling student complaints and academic appeals	
Average time taken to turnaround complaints and appeals[xiii]	[20]
Number of complaints escalated to the OIA	[21]
Number of complaints escalated to OIA that were not justified (benchmarked against the sector)	[22]

The turnaround time for complaints and appeals is outside deadlines for Stage 1 and Stage 2 and Stage 3 complaints. However, for Stage 2 Appeals we are inside the turnaround times. The turnaround time for Stage 1 appeals maybe reflected by a year-on-year increase in numbers (from 844 to 992) in the last 5 year with the number of cases in 2020/21 almost double that of 2015/16. This may be impacting on Faculty Assessment Boards as they are taking longer periods of time in which to respond. Currently the process involves a number of resource intensive steps. It is recommended that the Stage 1 Appeals use the same system as the mitigating circumstances process as soon as possible to help alleviate some of the pressure caused by numbers. Further review of the increase in the numbers of cases is recommended.

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[20] Academic Appeals. Regulatory timeframe for Stage 1: 42 days, average case turnaround time for Stage 1 (992 cases): 70 days. Regulatory turnaround time for Stage 2: 42 days, average case turnaround time for Stage 2 (39 cases): 41 days. Complaints. Regulatory timeframe for Stage 2: 35 days, average case turnaround time for Stage 2 (345 cases - including 175 Covid related complaints): 71 days. Regulatory timeframe for Stage 3: 28 days, average case turnaround time for Stage 3 (31 cases): 43 days
[21] 32 cases were reported to the OIA in 2020/21. This is above the median for the number of complaints expected for Kings by the OIA which was 21 last year.
[22] The benchmark for the sector is 14.5 and Kings is 10.

For Stage 2 complaints there are also delays in the turnaround times. Some of this can be reflected in the numbers of Covid related complaints we are receiving as well as the number of complex cases which require a lengthier investigation, and this continues to be the case from last year. The turnaround time for Covid 19 complaints is higher than the deadline and this was due in part to the university decision to wait until after the end of teaching and assessments before completing the investigation to ensure that any mitigations in respect of assessments could be considered effectively. For Stage 3 Complaints the delays are again due to the complexity of the cases which has resulted in lengthier investigations.

There has been an increase in the number of non-covid complaints (170 compared to 118 in 2019/20 and 87 in 2018/19), with a 44% increase compared to the 35% increase last year and numbers have nearly doubled in two years. There has been a slight increase in the number of cases sent to the OIA this year compared to last year (32 compared to 31). So, whilst this is still of concern, given the increase in the number of cases across the board the areas for review lie within the College as to why there are an increasing number of students engaging with our processes.

The number of complaints that were not justified was a smaller number than the median for the sector. However, it should be noted that the OIA's waiting times for dealing with complaints has increased and therefore we are still awaiting outcomes on 16 cases that are being considered by them which may be affecting the number of not justified cases.

The QAA also published an Academic Integrity Charter[23] in November 2020. King's signed up to the Charter and a working group of Academic Standards Sub-Committee reviewed the 7 principles of the Charter, confirming that King's met these principles, but also suggesting ways to enhance King's practice in meeting them. At its meeting on 24 March 2021, the Academic Standards Sub-Committee approved the findings and recommendations of the working group.

Condition C3: have published a Student Protection Plan which has been approved by OfS
There are no updates to be reported on relating to the content of the Student Protection Plan.

In line with OfS requirements, the Student Protection Plan is available online at: https://www.kcl.ac.uk/governancezone/students/student-protection-plan

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[23] https://www.qaa.ac.uk/about-us/what-we-do/academic-integrity/charter

The OfS undertook a consultation on Student Protection Plan on 17th July 2020[24]. The result from this consultation was the introduction of the new Condition of Registration:

[New} Condition C4: Student protection directions
This new condition came into existence in April 2021 and enables the OfS to intervene more quickly and in a targeted way when they consider there to be a material risk that a registered provider may cease the provision of higher education. As King's does not perceive itself to be in this position, we have yet to be demonstrating how we adhere to this new condition.

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[24] https://www.officeforstudents.org.uk/publications/consultation-on-student-protection-directions/

Appendix 4:

Good governance update:

Throughout 2020/21 there have been no updates to provide in relation to E1, E2, E3 and E5 (see above table for further information).

In relation to E4, the following reportable events have been made to the OfS during 2020/21, that would have affected the accuracy of the information in the provider's entry to the Register:

- Update to senior management team, following the departure of key senior management staff. This includes providing update to the President and Principal of the College.

Appendix 5: Information for students

Condition F1: Transparency information
The deadline for publishing our transparency information was 10th June 2021. This year's transparency information related to the number of students who attained a particular degree or other academic award, or a particular level of such an award, on completion of their course with us (previously the transparency information related to admission numbers).

King's published this information on 27th May 2021, and can be found here:
https://www.kcl.ac.uk/aboutkings/quality/transparency-return

Conditions F3 and F4: submission of information to OfS and Designated Data Body
Throughout the year there are numerous occasions where the College is required to submit information to the OfS (e.g annual financial information, Graduate Outcomes Survey contact details for students etc). Assurance can be given that we meet these timescales, with the following some examples to support this claim:

- Audited annual financial statements submission via OFS portal (deadline 01/03/21).

Process submitted 03 February 2021 10:23:37	
Completed	03 February 2021 10:24:33
Outcome	Success
Comments	The file 'Statements.pdf' has been submitted successfully. The processed file 'FinancialStatements2020_10003645_1_03FEB2021_1024.pdf' can be obtained from the successfully submitted files download.
Files	Statements.pdf

- Annual financial workbook submission via OFS portal (deadline 01/02/21).

Process submitted 29 January 2021 15:48:48	
Completed	29 January 2021 15:51:47
Outcome	Success
Comments	The workbook 'Workbook.xlsx' has been submitted successfully. The processed workbook 'FinancialReturn2020_10003645_2_29JAN2021_1549.xlsx' can be obtained from the successfully submitted files download.
Files	Workbook.xlsx

- Annual financial data commentary submission via OFS portal (deadline 01/03/21).

Process submitted 17 February 2021 15:46:15	
Completed	17 February 2021 15:47:47
Outcome	Success
Comments	The file 'Commentary.docx' has been submitted successfully. The processed file 'Commentary2020_10003645_1_17FEB2021_1547.docx' can be obtained from the successfully submitted files download.
Files	Commentary.docx

- Management letter from the external auditors submission via OFS portal (deadline 01/03/21).

Process submitted 03 February 2021 10:21:50	
Completed	03 February 2021 10:22:47
Outcome	Success
Comments	The file 'ExternalLetter.pdf' has been submitted successfully. The processed file 'ExternalAuditorsLetter2020_10003645_1_03FEB2021_1022.pdf' can be obtained from the successfully submitted files download.
Files	ExternalLetter.pdf

- Return sign-off by Accountable Officer (the Principal) submission via OFS portal (deadline 08/03/21).

Process submitted 19 February 2021 14:32:10	
Completed	19 February 2021 14:35:10
Outcome	Success
Comments	The file 'SignOff.xlsx' has been submitted successfully. The processed file 'SignOff2020_10003645_1_19FEB2021_1434.xlsx' can be obtained from the successfully submitted files download.
Files	SignOff.xlsx

Appendix 6:
Condition G update: Accountability for fees and funding

Assurance can be given that King's does not charge its students above the fee limit determined by the College's quality rating and its access and participation plan and complies with the terms and conditions attached to financial support from the OfS and UK Research and Innovation under sections 41(1) and/or 94(2) of HERA.

Annual registration fees
The annual registration fees for OfS, HESA (Designated Data Body) and the QAA (Designated Quality Body) were paid when requested: OfS was paid 21st July 2021 (the deadline was 1st August 2021); HESA was paid 29th January 2021 (for 3rd Feb 2021 deadline) and 28th July 2021 (for deadline 31st July 2021); and QAA were paid 27th May (deadline was 30th June 2021).

Appendix 7:

New time-limited Condition: Z3: Temporary provisions for sector stability and integrity

In response to Covid-19 pandemic, the OfS introduced a time-limited condition of registration that prohibits:

- The use of 'conditional unconditional' offers, where an offer is only unconditional if the applicant makes that university or college their firm choice.
- A university or college making false or misleading statements about other higher education providers in order to discourage prospective or current students from accepting offers or registering with them.

Other unconditional offers to UK students that could materially affect the stability and integrity of the English Higher Education sector could also be found to breach the condition.

Assurance can be given that King's continued to comply with this new, interim, condition.

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i Green: above average; Amber: below average but above lower quartile; Red: below average
ii Green: above average; Amber: below average but above lower quartile; Red: below average
iii Green: 95% and above of reports received; Amber: 75 – 94% reports received; Red: below 75% reports received
iv Green: 100% of new External Examiners received an induction; Amber: 75 – 99% of new External Examiners received an induction; Red: fewer than 75% of new External Examiners received an induction.
v Green: 100% confirm standards are appropriate or above standard; Amber: 75 – 99% of reports confirm standards are appropriate or above standard; Red: fewer than 75% confirm standards are appropriate or above standard.
vi Green: less than 10% reports had concern on academic standards raised; Amber: 11 – 15% reports had concern on academic standards raised; Red: 16% and above reports had concern on academic standards raised
vii Green: 100% and above of reports confirmed response; Amber: 90 - 99% of reports confirmed response; Red: fewer than 90% of reports confirmed response
viii Green: 95% and above of reports received; Amber: 75 – 94% reports received; Red: below 75% reports received
ix 100% of new External Examiners received an induction; Amber: 75 – 99% of new External Examiners received an induction; Red: fewer than 75% of new External Examiners received an induction
x Green: 100% confirm standards are appropriate or above standard; Amber: 75 – 99% of reports confirm standards are appropriate or above standard; Red: fewer than 75% confirm standards are appropriate or above standard.
xi Green: less than 10% reports had concern on academic standards raised; Amber: 11 – 15% reports had concern on academic standards raised; Red: 16% and above reports had concern on academic standards raised

xii Green: 100% and above of reports confirmed response; Amber: 90 - 99% of reports confirmed response; Red: fewer than 90% of reports confirmed response
xiii RAG is judged against the timescales in the published regulations

Action Plan against the Concordat to Support the Career Development of Researchers (HR Excellence in Research Action Plan)

Paper to be submitted to College Council (23 November meeting).

The accompanying paper describes the Action Plan against the Concordat to Support the Career Development of Researchers. This is required as a condition of King's having signed the Concordat and by funders when they are considering future awards of grants. An internal action plan is to be approved annually by College Council. On alternate years this action plan is also submitted for renewal of the HR Excellence in Research Award for external accreditation of our compliance, necessitating the same format for both.

The accompanying action plan is an update of that submitted in 2020 and approved by College Council in November of that year.

College Council are invited to:
1. Review the updates to the action plan and make the final approval.
2. Note the progress made on the Research Culture Task & Finish Group projects as the priority projects identified by this committee
3. Note that contributions are being made from across the university, reflecting the increasing engagement with this initiative, and that plans are under way for more effective communication of the content and sessions to enable sharing of best practice.

The action plans that King's has had against the Researcher Concordat have contributed greatly to enhancing the experience of our research staff (postdocs, research assistants, technical staff and teaching fellows). As we continue to maintain our HR Excellence in Research Award and now the annual internally approved action plan we are expanding the remit and bringing actions by the faculties into the plan. This has strengthened it and demonstrated the wealth of good practice we have across the university.

Within this plan one major activity is that of the Research Culture Task & Finish Group. The projects managed by this Group were selected by College Research Committee. Each of the three strands has delivered a report on Phase 1 and is now part way through Phase 2, to be completed in September. One critical outcome to the future of this and other work on Research Culture at King's has been the appointment of Prof Tim Newton as King's Dean of Research Culture. This appointment will strengthen the work on these projects and facilitate their implementation across the university.

As we now include more of the excellent work around the university in the action plan and we return to face-to-face settings, this would be an ideal time to share best practice, potentially in a way that also connects with the research culture agenda. We propose to bring the faculties and professional services directorates together at an event to celebrate our achievements and contribute to bringing about real change. Such a high level event would have a real impact on the experience of our research staff at King's and the message that we send to them about our support for them.

Interpretive notes

The action plan is divided into 3 major topics that follow the principles of the Concordat. These are Environment & Culture (EC), Employment (E) and Professional & Career Development (PCD). Each of these topics is subdivided into four sections, Institutions (I), Funders (F), Managers of Researchers (M) and Researchers (R). This results in the nomenclature ECI, ECF, ECM, ECR etc. in column A and resulting in anything labelled ECI, EI, PCDI being about what institutions are obliged to do, anything labelled ECM, EM, PCDM about what managers are obliged to do and ECR, ER, PCDR about what research staff are obliged to do. The reporting required is targeted for each of these groups.

Acronyms
A&H Arts and Humanities
ASDT -line 88
CD&I – ? line 39
CDIALs – ? line 39
CDT – ? line 45
CRC College Research Committee
CROS Careers in Research Online Survey
CRSD Centre for Research Staff Development
CV Covid
ECR Early Career Researcher
EDI Equality, Diversity & Inclusion
FLF Future Leaders Fellowship
FoDOCS Faculty of Dental, Oral & Craniofacial Sciences
FoLSM Faculty of Life Sciences & Medicine
FWG Flexible Working Group
IoPPN Institute of Psychiatry, Psychology & Neuroscience
KBS King's Business School
KORGI King's Open Research Group Initiative
KReSS King's Research Staff Survey
MHFA Mental Health First Aid
NMPC/FNFNM&PC Florence Nightingale Faculty of Nursing, Midwifery & Palliative Care
NMS/NMES Natural, Mathematical & Engineering Sciences
OD Organisation Development
PDR Performance Development Review
PGR Postgraduate research
PS Professional Services
REF Research Excellence Framework
RGEI Research Governance, Ethics & Integrity
RIAd Research Integrity Advisor
RIC Research & Innovation Committee
RIOT Reproducible Interpretable Open Transparent
RMID Research Management & Innovation Directorate
RSD Research Strategy Delivery
RSRC Research Staff Representative Committee
SSPP Social Science & Public Policy
SVP Ops Senior Vice President Operations
T&F Task & Finish
T&FG/TFG Task & Finish Group
UKRN UK Reproducibility Network
VP ED Vice President Education
VP Vice President

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

	Obligation	Action	Success measure (SMART)	Deadline	Responsibility	Progress update (to be completed for submission)	Outcome/ result
Environment and Culture							
Institutions must:							
ECI1.1	Ensure that all relevant staff are aware of the Concordat	Regular attendance of representative from the CRSD at faculty research staff representative committees, the RSRC, faculty research committees, Technicians' Away Day, and College Research Committee to update on Concordat actions	Discussion of relevant items at meetings and input from members, as noted in minutes.	In line with meeting occurrence	CRSD, Research Staff Committees, Faculty Research Committees, Technicians Committee, College Research Committee	CRSD representative now present at research staff representative committee meetings in FoDOCS, A&H and SSPP. Other faculties have yet to organise relevant meetings. FoLSM and NMES in the process of doing so. CRSD represented at the College Research Staff Representative Committee by secretary to meetings and appearances by other members at least every third meeting Presentations about the Concordat delivered at SSPP, A&H, NMES, FoDOCS, FoLSM and NMPC Faculty Research Committee meetings CRSD present at various faculty and department meetings. Awareness raised of the Concordat in the context of mentoring and research staff representation (RSRC). CRSD present at Technicians Steering Group and ad hoc at Technicians' monthly Away Day CRSD present as invited speaker at College Research Committee when need arises or represented by Research Talent Director who is a committee member	Regular discussion of Concordat at higher levels within most faculties with dissemination in some Incorporation into REF Environment Statements
ECI1.2	Ensure that all relevant staff are aware of the Concordat	At all major events for research staff provide literature about the Concordat	Number of items of literature taken (10% of participants take literature in person) Number of hits on the Concordat website (unique visitors to website in excess of 10% of total research staff population)	In line with event occurrence	CRSD	Paper literature unavailable due to Covid-19 304 unique visitors to 'How we work' internal webpage where Concordat is explained between Aug 2019-July 2021. This is roughly 15% of total research staff population 39.5% of respondents to the KReSS 2021 reported either some understanding or awareness of the existance of the Concordat, increased from 38.2% from the CROS in 2019.	A proportion of research staff are aware of the Concordat. Research staff are generally more interested in the outcomes inspired by the Concordat. Future awareness raising will mostly focus on outcomes first.
ECI1.3	Ensure that all relevant staff are aware of the Concordat	Concordat Event to which senior staff are invited following renewal of HR Excellence in Research Award and showcasing future actions	Attendance by senior management Discussion of actions Pledges to implement actions	December 2020 (CV)	CRSD	Event not planned as it was not possible to deliver due to COVID-19 restrictions	Event potentially to be held when COVID-19 restrictions lifted, potentially in connections with Research Culture
ECI1.4	Ensure that all relevant staff are aware of the Concordat	Include regular item in the newsletter about most recent developments against the Concordat Concurrent updates on Concordat webpages	Open rate of newsletter item, minimum 5% of readership Number of hits on the Concordat website, coincident spike in views(unique visitors to website in excess of 10% of total research staff population)	Alternate months	CRSD	Since August 2019, approximately 22 newsletter items have addressed research culture or updates on related policies including the Technicians Commitment and the King's academic policy on research. 8 articles publicising the RS Town Halls where some of these initiatives are discussed have also run. The open rate of the newsletter consistently averages at around 47%, indicating that the headline of the relevant article is viewed regularly. Data not currently available to indicate the link between newsletter articles and website hits.	Articles changed to highlight specifically the activities that are being carried out rather than referencing the Concordat, with Concordat referencing potentially elsewhere in the article.
ECI1.5	Ensure that all relevant staff are aware of the Concordat	Concordat principles to be woven into the Technicians' Commitment	Concordat principles present in the Technicians' Commitment	July 2021	Technical Network	This has been widely distributed via the technical network, work shops and remote away days . Our TCI for 2020-23 was wildly praised by the Streering body made up of senior level funders	Completed
ECI2.1	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Institution to submit Athena SWAN Silver application Outcome to be advertised on Athena SWAN institutional webpages https://www.kcl.ac.uk/hr/diversity/gender-and-race-equality/kcl-as-awards.pdf	Award of Athena SWAN Silver status	November 2020	EDI	Award granted in 2021	Completed
ECI2.2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Institution to submit application for Race Equality Charter Mark	Award granted	July 23rd 2020	EDI	Award granted in 2020	Completed
ECI2.3	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Code of conduct created to ensure behaviour is appropriate at events and courses. Code to be used at all events by CRSD. Similar codes to be rolled out across the university, to be piloted in faculties by (Natural & Mathematical Sciences) NMS and in role groups by the Technical Network. Depending on success of the two pilots, to then be rolled out to other faculties and departments	Inclusion of the code in event literature Adherence to the code	Inclusion for CRSD from Sept 2020 Inclusion by NMS and Tech Network from Jan 2021 Review Jan 2022	CRSD NMS	The CRSD has introduced a code of conduct for events and training. This has been expanded to include all of Research Talent and is made available to participants online here: https://www.kcl.ac.uk/study/doctoral-studies/doctoral-training/Booking-Information-Support/working-with-external-trainers.	NMES and Technical Network pilots to be implemented

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

ECI2.4	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Flexible Working Group to lead a university wide campaign and develop the interventions needed to enable a Flexible by Default culture for all roles. See also ECM5.3	Staff feel supported to work flexibly, through guidance, role models and line manager support, as reported in staff engagement survey. Criteria to be set when survey created HR capture informal and formal flexible arrangements.	January 2022 (CV)	HR Flexible Working Group Policy and Remuneration EDI OD	the Flexible Working Group is developing a SharePoint site to go live by 1 September 2021. This will include the following information: definitions of flexible working; how to apply for flexible working; case studies of different experiences of flexible working; tips on flexible working; guidance for managers with staff working flexibly; information about the FWG; and useful resources. Flexible by Default was included in the institutional statement accompanying the Athena SWAN submission. FWG is inputting into the Ways of Working project to ensure flexible working remains as a core principle.	Action ongoing
ECI2.5	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Maintain pages on CRSD website that link to relevant policies	Pages up-to-date Usage data	Pages reviewed quarterly Usage data compiled for annual reporting round	CRSD HR	176 unique visits to 'Policies for you' between August 2019-July 2021; 304 unique visits to 'How we work' page with policy links ; 292 unique visits to 'King's Research Culture' page in same period	Pages are up-to-date and being viewed, action to be continued
ECI2.6	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Continue to build a more efficient reporting procedure via new HR system and Diversity & Inclusion data dashboard to record, e.g. make-up of recruitment panels See also EI1.1	Improvement in reporting following adoption of new HR database. At least 90% of interview panels reported accurately other than for highest level recruitment. Faculty and HR records, including new HR system.	Recruitment phase of new HR database by December 2020	HR EDI	Significant work delivered on CoreHR recruitment system and a variety of analytics and dashboards exist, although it is still at an early stage and not able to report make-up of recruitment panels. SSPP have established both an EDI Committee at Faculty level and a sub-group of the Faculty Research Committee which specifically looks at EDI in research from all angles	CoreHR updates for reporting recruitment processes awaited
ECI3.1	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Promotion of Online Wellbeing Toolkit for research staff, initially developed for Staff Wellbeing Month but with wider usage anticipated Promotion of wellbeing hub https://internal.kcl.ac.uk/staff/experience/wellbeing/wellbeing1 See also ECR3.1	Number of enrolled users for Toolkit (51 to date, target 90) Completion rates for the course (target 45) Number of views of website and links therein (target 10% of research staff)	Quarterly	CRSD	At 14/7/21 59 people enrolled	Progress slow, more advertising required
ECI3.2	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Wellbeing month (January) run annually, to include free events, seminars, discussions and sports activities and offers See also ECR3.2	Attendance numbers increase year-on-year as percentage of research staff Feedback on events - minimum of 70% satisfaction Measurable increase in usage and uptake of other organisational priorities including Service/volunteering and Kings Sport	Annually in January	OD King's Sport	A dedicated programme of support is offered via OD this has included numerous additional webinars, guidance and bespoke sessions to support our community through the Covid-19 Pandemic. The support has focussed on supporting staff at a challenging time, managing virtual teams https://internal.kcl.ac.uk/staff/experience/wellbeing/index	Numbers accessing wellbeing resources increasing, potentially fueled by pandemic. Continue promoting resources
ECI3.3	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Address wellbeing in surveys and compare with previous to identify trends and inform actions to address the issue	Year-on-year increase being noted in survey activities, both in awareness of wellbeing initiatives and uptake in wellbeing provisions as percentage of research staff.	Annually or alternate years, depending on survey	OD CRSD Technical Network	The King's Research Staff Survey 2021 included questions regarding work-life balance and wellbeing. While detailed anaylsis is not yet available, 58.5% report that they agree or strongly agree that they are satisfied with their work-life balance. 53% agree or strongly agree that King's promotes better mental health and well-being at work. Respondents account for approximately 15% of research staff. Training for technical staff is being arranged and will be publicised though the network and the CRSD. The technical network has already trained Mental Health first aiders KCL check data was used to support staff wellbeing. OD delivered a comprehensive programme of support. This included support offered via our EAP, a confidential service that staff can use to speak to expert advisers. A dedicated programme is underway to tackle bullying and harassment and active Bystander training has been launched to support this A Mental Health First Aid course was organised between the Technician's Network and the CRSD in July 2021. 16 technical staff attended drawn from a range of faculties and the short-term evaluation is positive. The CRSD are considering mid- and long-term evaluations of this intervention.	Survey outcomes prompted programmes and other services to support wellbeing. Analysis of more recent surveys, including the KReSS, expected to inform future actions
ECI3.4	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Develop "Dignity at King's" Bullying, Harassment and Victimisation Policy - currently only a statement exists See also ECI3.6	Policy delivered, published and advertised Number of views of published policy (minimum 10% of research staff) Strict adherence to the policy - measures under review Anticipated increase in grievance and disciplinary reports	Policy publication December 2020 Adherence to policy measures agreed 2022	Now OD Was EDI HR	Policy delivered in December 2020 Senior management team and OD produced clear action plan, beginning with their own working practice Responsibility transferred to OD Procesess starting to be put in place to address the issue, including through the corresponding Bullying & Harassment T&FG project. Faculties invited to share best practice.	clarity on policy position and foundation for behavioural work established

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

ECI3.5	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	In February and March of 2020, FoLSM launched a piece of work that explored our working culture and environment, specifically focussing on bullying and harassment. Colleagues were invited to discuss perspectives and experiences of our organisational culture, and help identify good practice and opportunities to build a more inclusive culture where research staff and the rest of the Faculty can thrive. The data collected will inform a programme of activity to facilitate cultural change, including a tool to guide inclusive leadership, coaching and development for leadership, and a video podcast. These provisions will be implemented over the coming months. The programme will be trialled in FoLSM and rolled out in other faculties, starting with A&H and NMS	Recommendations approved by FoLSM Executive Board and implemented; specific questions included in Faculty Staff Survey, and show positive perception.	December 2021 Ongoing in line with staff surveys	FoLSM A&H NMS	FoLSM to report in December 2021 NMES and A&H waiting for FoLSM trial outcomes. In NMES this will be included under the "People Community" of the new NMES 5-year plan. NMES is looking to completely overhaul and refresh the support for our research staff and develop a new focus on creating a supportive research culture.	Plans needed for dissemination of FoLSM report
ECI3.6	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Convene a TFG* working group to address Bullying, Harassment and Victimisation in relation to research staff Working group to work alongside central and faculty Athena SWAN and EDI teams Devise events, actions and/or policies to address the issue See also ECI3.4 and ECM5.1	Working group convened Research completed Actions planned Outcomes dependent on the nature of actions planned by the working group - could include attendance at events, reported improved relationships between research staff and managers	Group convened by 31st July 2020 Research Completed by October 2020 Actions planned by December 2020 Outcomes ongoing thereafter	Research Culture TFG	Action delayed initially by COVID-19. Working Group convened and completed Stage 1 by April 2021. Paper published at https://internal.kcl.ac.uk/crsd/kings-research-culture, Results disemminated at Research Staff Town Hall meeting in April and via Research Staff Newsletter. Stage 2 in progress, to be completed by September 2021. Research resulted in a number of recommendations to the university, most of which are being addressed by Senior Management (see ECI3.4) Phase 2 intended to deliver additional resources to support those experiencing bullying and harassment	Working Group continues to address the issue. Continue with project.
ECI3.7	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Updated from Athena SWAN action plan Tackle long hours culture through work life project, with associated work life toolkit for staff. Enhanced workload allocation modelling, providing sufficient time for line management. Facilitate a cross-Faculty conversation around workload models to move towards more consistency at King's. Improve processes, systems and procedures to improve efficiency, reduce workarounds and reduce unnecessary work. Continue to develop and implement HRDS and realise efficiency benefits. Develop and implement systems, with better understanding of requirements, and recognition of change creates work and requires resource to implement. Align Athena Swan findings further into business planning between PS and Academic staff. Increase project management capacity.	Updated from Athena SWAN action plan Staff report better work life balance, as reflected in staff engagement survey, working 'extra time in the last 12 months' target 10% reduction each year, from baseline of 74% in 2017. Workload is felt to be more manageable. Reduction in proportion of staff who feel unable to cope with workload to 30% compared to 48% in 2017. Staff engagement survey shows carers feel increased 'King's provides good support to help me balance my work and personal commitments, up 3% each year. Baseline for all staff = 57% in 2017. 2020 Action plan entry Creation of pilot Toolkit Dissemination of Toolkit Number of times accessed (minimum 5% of research staff) Responses in all staff survey	2022 Toolkit created by December 2021 Preliminary evaluation via in house all staff survey (CV)	Updated from Athena SWAN action plan A - SVP Ops, VP ED and VP Research R - Flexible working group, EDI, OD, People Partner teams	Wellbeing toolkit developed and now online. https://internal.kcl.ac.uk/staff/experience/wellbeing/toolkit Information about work life project needs to be sourced	Better co-ordination between contributors to this action plan needed. CRSD to review and revise approach to delivering
ECI4.1	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	Training for PIs/Managers of research staff. Attendance currently low. Continue to map out current training availability and topics covered, and ensure good practice and learning shared See also ECM1.1	Mapping exercises completed	Annually in line with action plan reporting period	OD	A dedicated programme of support is offered via OD this has included numerous additional webinars, guidance and bespoke sessions to support our community through the Covid-19 Pandemic. The programme has focussed on supporting staff at a challenging time, mental health and wellbeing issues and positive workplace culture	While a dedicated programme has been provided by OD there are still problems being identified by the KReSS. Reveiw planned for how we address any training provided and where the responsibility lies
ECI4.2	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	Continue providing courses, e.g. Diversity Matters https://www.kcl.ac.uk/hr/diversity/Get-Involved/training, that address these issues and encourage greater attendance by sending out regular updates to managers twice yearly See also ECM1.1	Attendance at courses (minimum 5% of managers) Changes in relevant responses in surveys	Updates sent annually April and September Courses asynchronous All staff surveys are currently every other January (CV)	EDI OD CRSD	1370 managers and 2910 staff attended Diversity Matters between Jan 2018 and April 2021. Data collection processes do not specifically separate managers of research staff. All Staff Survey not carried out in this reporting period KReSS responses demonstrate that research staff continue to level poor managment accusations at their managers. For example, the proportion of research staff reporting they had directly experienced or witnessed unfair or disrespectful treatment by a colleague/s at King's that has had an impact on them increased to 35% in 2021 from 30% in 2019. Not all these cases will be managers as perpetrators, but managers have responsibility.	Diversity Matters likely has an impact on how research staff are treated but other measures may also need to be put in place to create a more obvious impact.

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

ECI4.3	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	Diversity Matters run asynchronously and made available to all staff at King's. Review in line with all staff surveys to ascertain continued appropriateness See also ECM1.1 and EM3	Data from attendance records at Diversity Matters courses (miniumum of 5% of new managers) Changes in relevant responses in surveys	Courses asynchronous All staff surveys are currently every other January (CV)	EDI with discussion at Faculties bi-annual meetings.	Diversity Matters now moved to online delivery due to pandemic. See above for attendance	As above
ECI4.4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	KCL has increased its focus on all staff wellbeing, especially through Covid-19 and created a dedicated intranet page for wellbeing including a range of new and existing resources and links to support groups and services OD will continue to produce a monthly update including health, wellbeing and exercise topics and advertising of events and resources See also ECM3.1	Newsletter disseminated monthly Open rate of newsletter (minimum 10% open rate)	Monthly OD Update from March 2020	CRSD OD	Newsletter distributed on a regular basis. Readership to be analysed when more issues have been sent out See also ECI3.2.	Project progressing according to plan
ECI4.5	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	IoPPN current priorities can be found at https://www.kcl.ac.uk/ioppn/diversity-inclusion These include a faculty Code of Conduct that highlights the need to pay attention to all protected characteristics when considering the 7 points contained in the code. One point is 'Supporting early career researchers in their career development and progression by providing them with opportunities to establish themselves as independent researchers.'	Increase in number of signatories to the code, 182 to date Awareness and adherence assessed through King's and IoPPN surveys, the Diversity & Inclusion Achievements Logs, PDRs, exit surveys, focus groups, and other feedback exercises.	Annually in line with action plan reporting period	IoPPN Diversity & Inclusion	Currently 480 signatories - visable on website - https://www.kcl.ac.uk/ioppn/diversity-inclusion/ioppn-code-of-conduct Improved level of engagement in departments through CDIALs (summary of good practice will be available later this year and CDIALs made available online) Explicit inclusion of CD&I In PDR and broader messaging about discussing wokload and wellbeing. New to 2021 is, bespoke messaging to researchers from Vice-Dean (Research) on importance of PDR	Project progressing according to plan
ECI5.1	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Create an overarching College-level Research Integrity principles-based code of conduct, supported by faculty-specific guidance for researchers See also ECM2.1, ECM2.2 and ECR2.1	Code of Conduct created	December 2021	RGEI	Development of code of good research conduct is ongoing, to be published Dec 2021 see also ECM2 and ECR2	Action ongoing
ECI5.2	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Creation of Research Integrity Champions in all 9 Faculties, to play a high-level advocacy role, promote RI within their areas, and advise on policy and procedure development. See also ECM2.1, ECM3.2 and ECM5.2	Attendance at meetings every 2 months. Engagement from the Champions leading to invitations to RGEI to speak at Faculty Research Committees and/or invitations for training	Champions appointed by July 2021 RGEI attendance increased by July 2022	RGEI	Research Integrity Champions in place by September 2019. As roles rotate, incoming Vice Deans for Research are named as RICh by predecessor and commit to this role. Attendance continues at RICh Forum every 2 months, with delegates sent if RICh unable to. Enhanced visibility across the College, with invitations for training and to speak at faculty-wide events to promote research integrity increasing.	Project progressing as planned
ECI5.3	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Creation of Research Integrity Advisors to be in place in all faculties Hold termly meetings between Faculty advisors and RGEI to understand issues reported to them. Provide support with training See also ECM2.1 and ECM 5.2	Number of enquiries of research directed to advisors. Currently zero as new initiative so any enquires indicate success Meetings between advisors and RGEI completed with desired outcomes Increased attendance at training across KCL, minimum 5% increase in attendance overall	Advisors appointed by Sept 2020 Meetings termly	RGEI	Research Integrity Advisors in place in 8 out of 9 faculties by September 2020. Ongoing recruitment to fill gaps where identified. Termly meetings are successful, with concrete action for awareness raising and training in local areas (department/research groups/schools). Some training sessions have been delivered in local areas and supported by the RIAds, with plans for more in the 2021/22 year. Also, significant uptake in training across the College.	Project progressing as planned
ECI5.4	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Training and guidance in Research Governance, Research Ethics, and Research Integrity available to all researchers. Development of online resources. See also ECM2.1 and ECM 2.2	Creation of online material and figures related to uptake; attendance and engagement in training sessions. Minimumm engagement level 5% of target audience.	December 2021	RGEI	Online module in development. Online training request form created for all RGEI to help coordinate training across three areas and to ensure that all those engaged in research are aware of possible training to support their research practices. In place by April 2021. Data comparison. 16 attendees in Jan 2020 vs 28 in March 2021.	Project progressing as planned
ECI5.5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	KORGI is an action-oriented committee composed of an interdisciplinary mix of mainly senior academics and experienced research staff at KCL. Its aim is to push for changes in policies and procedures to promote transparent, accessible and reproducible research, focusing on three key engines for change. First, raising awareness about the benefits of open research practices for improving the quality of research and the career prospects of researchers. Second, helping researchers adopt open research practices, including the development of training and guidance, building infrastructure to allow for open research, and establishing appropriate incentives in policies and procedures. Finally, facilitating reforms at a Faculty and College level. https://www.kcl.ac.uk/research/kings-open-research-group-initiative-korgi See also ECR5.2	Formulate actions based on recent survey data which assessed knowledge and practice of open research at KCL. Facilitate the adoption of hiring and promotion criteria that incorporate open research practices Instigate discussions regarding an institutional publishing model based on the UCL press Establish Open Research Award, an initiative to help remove financial incentive barriers to practicing open research Develop open and accessible materials to teach and raise awareness of open research Establish a revenue stream	Survey outcomes published August 2020 All other actions will be completed by November 2021	KORGI	Staff responsible for KORGI have mostly now left King's. The IoPPN is reviewing its viability without the original team. The survey data are still available but the outcomes have yet to be published Other publications include: A three-step guide for academics wishing to support reproducible and open research has been published at https://psyarxiv.com/jyfr7/ An archive of job offers that require or suggest an open sicence statement from the applicants https://osf.io/7jbnt/ IoPPN has now created an open science award https://internal.kcl.ac.uk/ioppn/randd/ResearchandInnovationCommitteeRIC/Research--Innovation-Committee and worked with other universities to create a national primer for UKRN (https://osf.io/kqgez/) IoPPN researchers have championed open science by establishing university-wide groups to raise awareness and influence practice and policy. The RIOT Science Club started by Westwood (an IoPPN ECR) provides examples of good practice and training in Reproducible, Open and Transparent Research. It is now franchised to four institutions and has partnered with the UK Reproducibility Network.	Work continuing on the aims of KORGI, although not under the direction of this group

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) **August 2020 to July 2024**
Update **August 2021**

ECI5.6	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	1. Ensure appropriate dissemination of the college's underpinning principles and policies on DORA via an internal-facing webpage / e-hub). 2. Deliver on mandatory priorities such as a Statement of Commitment for the college-wide Implementation of DORA, which is a requirement of the Wellcome Trust. See also ECM2.1 and ECR5.2	1a. Creating an accessible and well-positioned webpage / e-hub to host college policies on DORA. 1b. Evaluation of web analytics stats of webpage visits and timed engagement with content related to DORA. 1c. Audit of central and local policies (hiring and promotion, performance development reviews, training and development programmes - research staff and students) to ensure compliance with DORA principles. 2. Publish Statement of Commitment for the implementation of DORA on an accessible, public facing webpage	1a. By Dec. 2020 1b. By April 2021 and periodically, as required. 1c. By April 2021 and periodically, as required. 2. By Jan. 2021	1a. RSD (Research Strategy Delivery) 1b. RSD / IT 1c. HR Faculties OD CDT 2. RSD	Responsibility for DORA on hold when previous person left King's College guidance required by faculties or other senior staff members on how to proceed	Requires academic lead
ECI5.7	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Further develop and evaluate King's Internal Talent Database (stayatkings.co.uk) aimed at providing interim employment for staff between contracts.	PIs posting jobs, minimum of 3 jobs posted per year Research staff posting their qualifications, minimum of 5% of those reaching contract termination with no subsequent employment Partnerships formed - minimum of 5% of posted jobs	Relaunch by September 2020 Evaluation by September 2021	CRSD	Project on hold for further development pending analysis of King's Research Staff Survey responses, following an initial pause for COVID-induced understaffing and staff changes. Additional unexpected costs have surfaced that would indicate an alternative hosting system is needed. The KReSS asked if respondents would use a system for registering availability at the end of a contract to take up a vacant role for the last few months of a grant. 173 (60.3%) responded yes, 27 (9.4%) no, 87 (30.3%) Don't know. Further review of the functionality and feasibility of such a system is required.	Evaluate feasibility of project using KReSS results and cost benefits Decision to be made about continuing it by December 2021
ECI6.1	Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices	Gather information from: Culture, Employment and Development in Academic Research Survey or similar All Staff Survey Research Excellence Framework RSRC Faculty Committees EDI Data reviewed and actions required fed into relevant faculties/directorates	Surveys conducted with sufficient response rate, minimum 20% Data gathered and analysed Changes in practice agreed and implemented	Annually in line with action plan reporting period and survey cycle	OD Faculties EDI CRSD	A&H, SSPP and NMES undergoing restructuring and reprioritising processes either using surveys as part of or as a result of survey results. NMPC conducted a survey, currently analysing results Faculties receiving input at local level in committee meetings Professional services departments including research environment initiatives in their portfolios. Research culture a priority. New College-wide Dean of Research Culture appointed who will address these challenges by bringing together those responsible for initiatives that impact on research culture CRSD: King's Research Staff Survey conducted June-July 2021. Response rate c.15%, findings yet to be analysed.	Many initiatives currently in progress. Shared best practice required to extend these across the university
ECI6.2	Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices	Hold a Town Hall Meeting for Research Staff regularly at which they can ask questions of the VP Research and other senior staff members	Attendance at meetings, to remain above 5% of invited participants Trust built between research staff and SMT, measured in surveys Entries on FAQs pages, FAQs cover all questions asked in Town Hall meetings	Monthly or alternate months depending on issues arising	CRSD Vice President and Vice Principal (Research) Comms Office	Research Staff Town Hall meetings held bi-monthly (most recently March, May and July 2021). Attendance c. 200-300 at each meeting. Questions on these meetings included in the King's Research Staff Survey, 121 (43.3%) of respondents found the Town Halls useful or very useful, 40 (14.3%) not useful, and 99 (35.5%) do not attend. Suggestions for future topics and feedback was also gathered.	Meetings serving their purpose. Review meeting format and content and continue for foreseeable future
Funders must:						
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies					
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers					
ECF3	Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions					
Managers of researchers must:						
ECM1.1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Attend relevant courses such as Diversity Matters https://www.kcl.ac.uk/hr/diversity/Get-Involved/training See also ECI4.1, ECI4.2 and ECI4.3	Data from attendance records at Diversity Matters courses (miniumum of 5% of new managers)	When becoming a recruitment panel member or before	EDI Faculties Managers of Research Staff	Managers are attending Diversity Matters. See ECI4.1 Faculties have a variety of ways in which they implement this training, from managed by local EDI staff, delivered locally and making it mandatory. Training in one faculty is currently under review.	A large portion of managers are attending Diversity Matters. Information about what they are getting from it would be useful

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

ECM1.2	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Either undertake personally or encourage staff to undertake training to become a Mental Health First Aider https://internal.kcl.ac.uk/student/SupportandAdvice/health/counselling/Training-for-Staff	Data from attendance at Mental Health First Aider courses (miniumum of 1 person per faculty)	Elective according to individual	Faculties Counselling Service Managers of Research Staff	Training occurs where deemed important, generally in and funded by faculties or schools. Attendance records are patchy so there is little available data. CRSD supported one session for 16 technical staff in the 2020-21 academic year	While MHFA training does take place it is not necessarily university-wide. There may be scope for a centrally provided offering, providing funds are available to deliver.
ECM2.1	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	Adhere to the College Code of Good Conduct in Research once it is developed https://www.kcl.ac.uk/research/support/rgei/research-integrity Faculty Integrity Champion and Advisors to encourage compliance and attendance at training events See also ECI5.1, 5.2, 5.3, 5.4, 5.6 and ECR4.2	Code developed and published Number of cases reported each year - this is a complex measurement as there are several influencing factors. We may initially see an increase with increasing awareness and confidence to report but longer term would expect a decrease as adherence increases	Code developed by December 2021 Reporting annually in line with review	RGEI Faculties Managers of Research Staff	College Code in development. Better lines of communication between faculties and RGEI to be established to support the reporting in the annual statement. Until the College specific code of conduct in research is launched, researchers are still required to adhere to the UKRIO code and the King's framework, both of which are published on the RGEI webpage	Project progressing as planned
ECM2.2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	Staff submitting external funding applications in A&H required to familiarise themselves with KCL statement on Research Integrity and confirm they are aware of it Other faculties to be made aware of this policy and invited to follow suit. See also ECI5.1 and ECI5.4	All external funding applications in A&H made with signed agreement Other faculties to have decided whether or not to follow the same route	In line with grant application deadlines Other faculties by December 2021	A&H Other faculties Managers of Research Staff	The A&H research grant support officer is also a research integrity advisor, making sure that all applicants are aware and informed. Process needs to be disseminated to other faculties	Funding applicants in A&H familiar with the statements Process needed to roll out to other faculties, suggested via Worktribe
ECM3.1	Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity	We anticipate that approaches to this other than setting up reporting systems will emerge from the TFG actions as an initial stage of addressing a complex issue See also ECI3.6 and ECI4.4	Approaches identified by the TFGs Future actions being put in motion	July 2021	TFG Faculties Managers of Research Staff	TFG projects delayed by COVID but are approaching the stage of generating actions. Actions in this instance need to be ones that the managers of research staff will take.	Future actions await outcomes of Research Culture TFG projects
ECM3.2	Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity	Increase visibility of existing reporting system for allegations of research misconduct through training and interventions of research integrity advisors See also ECI5.2, ECI5.4, ECM4.1 and ECM4.2	Nature and quantity of reports of perceived breaches of integrity. We may initially see an increase with increasing awareness and confidence to report but longer term would expect a decrease as adherence increases	Annually in line with action plan reporting period	RGEI Managers of Research Staff	Reporting is increasing but so has outreach through training. Champions in place in most faculties Research Integrity Advisors also in place in most faculties, as they are crucial to act as a visible point of contact for anyone with concerns.	Project progressing as planned
ECM4.1	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	FoLSM: implement recommendations from Cultural Change Initiative; implementing a disputes resolution model, which comprises 3 elements: 1) our Confidential Advisors (already implemented); 2) internal 'light touch' mediators to resolve small workplace disputes/challenges; and 3) more streamlined access to external mediators. Overall aim of model is to resolve workplace disputes quickly and build staff capability around dialogue/conflict management.	Recommendations implemented Workplace disputes reduced. Any reduction will be considered a success	Implementation by July 2021 Reduction in disputes by July 2022	FoLSM Managers of Research Staff	FoLSM have developed the resources e.g. handbook, role descriptor for the internal disputes advisors (light touch mediators) and plan to recruit the first cohort next month. Confidential advisors are in place and their work is ongoing.	Project progressing as planned
ECM5.1	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Take up roles within Task & Finish Groups See also ECI3.6, EI3.1 and EI3.2	Roles being taken up Contributions to group activities made	Appointment by September 2020 Contributions thereafter	TFGs Faculties Managers of Research Staff	Managers of research staff from A&H, FoDOCS, FoLSM, IoPPN, KBS NMES and SSPP participating in Research Culture projects	Contributions made by managers to these projects and ensuing policy
ECM5.2	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Take up Research Integrity Champion and/or Advisor role See also ECI5.2 and ECI5.3	Roles being taken up Contributions to policy making made (from participation in related discussions, i.e. attendance at relevant meetings etc.)	Champions appointed by July 2021 Contributions thereafter	Faculties RGEI Managers of Research Staff	Managers of research staff who have taken up roles as Research Integrity Champions are able to comment on policy/procedure changes/developments at bimonthly meetings. Staff appointed to Research Integrity Advisor roles (in place since September 2020) are also able to contribute to policy/procedure development at termly Faculty RIAd meetings Reports from some faculties that the Champions are leading on events related to research integrity.	Managers of research staff are in place, better reporting needed on what contributions they are making
ECM5.3	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Engage with Flexible Working Group regarding "Flexible by Default Culture" See also ECI2.4	Staff feel supported to work flexibly, through guidance, role models and line manager support, as reported in staff engagement survey. Criteria to be set when survey created HR capture informal and formal flexible arrangements.	January 2022 (CV)	Managers of Research Staff	FoLSM and SSPP report managers of research staff engaging with flexible working and feeding back information to Schools	Reporting processes required to monitor engagement
Researchers must:							

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

ECR1.1	Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students	Staff to be encouraged to engage by reward and recognition of their contribution. This will be addressed by the Reward & Recognition TFG subgroup*. See also EI3.2	Success measures will depend on the findings of the Reward & Recognition TFG subgroup	Sub-group appointed by September 2020 Research completed by February 2021 Agreement by June 2021 Publication by October 2021	TFG CRSD CRC Research Staff	Research Culture TFG workgroups concluded phase 1 and published reports in May 2021 (see https://internal.kcl.ac.uk/crsd/kings-research-culture). Research staff were invited to form part of these groups and were actively involved. As phase 1 represented data gathering, phase 2 (from June 2021 onwards) represents projects resulting from these data. Questions on this topic were also asked in the King's Research Staff Survey. Changeover of project lead has slowed progress on this project Initial results from KReSS also provide suggestions for processes to recognise contributions.	Findings of phase 2 will provide insight into any processes needed
ECR2.1	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	Adhere to the College Code of Good Conduct in Research once it is developed Adhere to Dignity at King's Policy See also ECI5.1	Measured by reporting of breaches, bearing in mind that this is a complex metric that is likely to increase initially and then decrease with understanding and behavioural change	Good Conduct code published by Dec 2021 Dignity at King's published December 2020 Reporting data collected before and after launches	RGEI HR Faculties EDI Research Staff	Development of code of good research conduct is ongoing, to be published Dec 2021 RGEI working with HR to ensure better sharing of relevant data to assist in reporting on engagement of research staff with these processes A memorandum of understanding has been developed by RGEI to outline the processes for sharing of information relating to bullying and harassment and research misconduct See also ECI5.1 and ECM2 and 3	Project progressing as planned
ECR3.1	Take positive action towards maintaining their wellbeing and mental health	Engage with Online Wellbeing Toolkit See also ECI3.1	Number of enrolled users for Toolkit Completion rates for the course Number of views of website and links therein See also ECI3.1	Elective according to individual	CRSD Research Staff	At 14/7/21 59 people enrolled	Numbers accessing the toolkit are lower than desired - more awareness raising required.
ECR3.2	Take positive action towards maintaining their wellbeing and mental health	Engage with open courses available to all university staff. Additionally, there are links to external training through LinkedIn Learning and career guidance and toolkits through the Organisation Development intranet pages. See also ECI3.2	Attendance data from courses (minimum 1% of staff) Website hits on the Organisation Development wellbeing page (minimum 5% of target audience)	Annually in line with action plan reporting period	OD King's Sport Research Staff	Numerous courses supporting wellbeing and mental health now available from Organisation development	Staff are attending courses
ECR4.1	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	Bullying Harassment and Victimisation reporting tools accessible at https://www.kcl.ac.uk/hr/diversity/dignity-at-kings See also EM3.2	Research staff using the system, rise from current zero	Reviewed annually in line with action plan review	Faculties EDI Research Staff	Tools accessible and updated in line with best practice Numbers using the system currently unclear	More publicity of the reporting tools required Continued commitment to zero tolerance
ECR4.2	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	Research Misconduct Reporting mechanism available on external webpages https://www.kcl.ac.uk/governancezone/research/research-misconduct and https://www.kcl.ac.uk/research/support/rgei/research-integrity/research-misconduct See also EM3.2	Research staff using the system, rise from current zero	Reviewed annually in line with action plan review	RGEI Faculties Research Staff	Enquiries about possible misconduct issues are increasing, including from research staff - clarity needed about how many research staff are reporting them.	Project progressing as planned, reporting systems need to be more robust
ECR5.1	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Increase and/or keep to full occupancy research staff reps on RSRC, faculty research committees, academic board, etc. Contribute to relevant surveys Topic to be addressed by Reward & Recognition TFG*	Numbers of research staff representatives maintained at full complement Contribution to surveys (% of research staff)	According to relevant schedule for relection of representatives With survey cycles and deadlines	Faculties CRSD Research Staff	As of July 2021 six of nine fcaulties are represented on the Research Staff Representative Committee, including all Research Staff roles. There is action underway in the remaining three faculties to address the vacancies Four faculties report research staff representatives on their research committees. Faculties report difficulties in finding anyone who would like to take up a representative role. Academic Board vacancy has recently been filled so both postdoc seats are taken. Research staff from all faculties participating in the T&F Working Groups Approx 13% of research staff contributed to the King's Research Staff Survey, a decrease from 30% response rate to the previous equivalent, the Careers in Research Online Survey.	There currently appears to be a reluctance on the part of research staff to get involved. It is not clear what is causing this, other than Covid-19.
ECR5.2	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Contribute to other policy-making groups, including Flexible Working Group, see ECI2.4 TFG Bullying, Harassment & Victimisation, see ECI3.6 TFG Careers, see EI3.1 TFG Reward & Recognition, see EI3.2 KORGI, see ECI5.5	Numbers of research staff representatives attending policy development forums and events (minimum 10 reps attending per year)	Elective according to individual	Faculties CRSD Research Staff	Eight research staff serve on the Research Culture Working Groups and one on the Task & Finish Group, drawn from almost all of the faculties Flexible Working Group currently is a majority of professional services and some academic staff members. Research staff may be included in future While there was significant input from research staff into KORGI it may no longer be functional as those leading it have now left King's. Research staff may still be contributing under other guises to the initiatives they instigated Faculty networks in the process of or need to be updated to ensure there are representatives who can be called on when needed.	There currently appears to be a reluctance on the part of research staff to get involved. It is not clear what is causing this, other than Covid-19.
Employment							
Institutions must:							

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

EI1.1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	We have invested c. £11m in a new HR & Payroll digital services platform. One output of this is to improve significantly the quality of workforce "real time" data and analytics. Phase 1 went live in September 2019. We are currently rolling out the new recruitment module which will enable a complete digitised online recruitment experience "from hire to retire" that will enable recording of e.g. make-up of recruitment panels. Complete the strategic BI project for real time Power BI dashboards and analytics. Extend digital services across all aspects of the colleague life cycle including time and attendance and talent management. See also ECI2.6	Recruitment module fully implemented and functional Power BI dashboards and analytics rolled out Extension of digital services completed	Recruitment phase by December 2020 Power BI dashboards by autumn 2020 Digital services by December 2023	Services Design & Improvement HR Faculties EDI	Recruitment processes though the online system started well. Full implementation is yet to be achieved	Project behind schedule but ongoing. Power BI dashboards still to reflect make-up of recruitment panels
EI1.2	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	Deep review into recruitment and selection, aligning with "Our Principles in Action" and Race Equality Charter Mark. Scope feasibility of name-blind shortlisting. Use skill-based assessment tasks in recruitment by asking candidates to perform tasks they would be expected to perform in the role. Develop high quality inclusive interviewing through fair selection training.	100% of applicant, appointed and panellist EDI data is captured through recruitment processes. Success rates from application to appointed are regularly monitored and actions designed and taken. Staff are trained to recruit fairly	July 2022	HR OD EDI Line managers	Recruitment best practice has been scoped and OD are supporting the sessions for managers using the new HR system. Additional information and guidance will be available in September 2021	Project progressing as planned
EI2.1	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	Faculties to review and revise their existing induction programmes for research staff and their managers. Where possible, future induction programmes to include: Clarity about staff performance Expectations regarding "Our Principles in Action", a set of principles relating to how we work with each other Support provided for training, development and career planning Staff networks and representation Checklist of required activities e.g. fire safety	Programme devised Comprehensive information available on faculty websites Attendance numbers at events, minimum of 10% of new staff	Programme by July 2021 Information available by January 2022 Attendance at events reviewed annually in line with action plan review	Faculties	Induction documents for research staff across the university being compiled by Research Staff Representative Committee. New Research Staff and Manager agreement setting out expectations being drawn up as part of induction process by FoDOCS and NMES that will be available across the university. Two faculties currently reviewing their processes. One faculty devolves induction to School level.	Project behind schedule but ongoing.
EI3.1	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	TFG convened to address 3 priority projects. TFG to appoint a sub-group to identify and document career options and promotional prospects within the university* See also ECM5.1 and ECR5.2	Sub-group appointed Career mapping carried out Promotion options highlighted Information documented and published to coincide with PDR season	Sub-group appointed by September 2020 Mapping and options by February 2021 Publication April 2021	CRSD CRC	Subgroup appointed, phase 1 delivered with publication to be found at https://internal.kcl.ac.uk/crsd/kings-research-culture, phase 2 to be completed in September 2021	project too large to be completed fully in the available time. Phase 2 to provide success measures outlined
EI3.2	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	TFG convened to address 3 priority projects. TFG to appoint a sub-group to identify appropriate, desirable and feasible reward and recognition processes other than promotion* See also ECM5.1, ECR1.1 and ECR5.2	Sub-group appointed Research completed Agreement reached within faculties Information documented and published to coincide with start of academic year	Sub-group appointed by September 2020 Research completed by February 2021 Agreement by June 2021 Publication by October 2021	CRSD CRC	Subgroup appointed, phase 1 delivered with publication to be found at https://internal.kcl.ac.uk/crsd/kings-research-culture, phase 2 to be completed in September 2022	project too large to be completed fully in the available time. Phase 2 to provide success measures outlined
EI3.3	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	A&H to explore setting up a "Career Development Fund", intended in part to mitigate against adverse effects of COVID 19 and its consequences (lack of access to resources; additional caring responsibilities; increased teaching and assessment duties) on research career profiles. If approved, application will be competitive	Decision reached about the fund If approved, number of applications made - target of minimum 1 application per available award Statements of impact for recipients	Decision by January 2021 Fund set up by April 2021 Applications and funding decisions by June 2021	A&H RMID	All staff are eligible to apply to a competitive research fund at faculty level to receive support for development opportunities, attendance of conferences and marking relief for finalising grant applications	application numbers and statements of impact for recipients to follow
EI3.4	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	FoLSM to work with Vice Dean Research and Impact and Executive Board to develop and implement a pathway model to retain research staff.	Decision reached Mechanism in place Increased retention of research staff	December 2020 December 2021 December 2022	FoLSM	Project currently on hold	awaiting resumption of project
EI3.5	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	FoLSM Identifying and implementing support for research staff on fixed-term contracts who go on parental leave	Support mechanisms agreed Any increased retention of individuals on paternity and maternity leave Any increase in outputs from individuals who have taken parental leave	April 2021 Retention and outputs by December 2022	FoLSM	ongoing	Project progressing as planned

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

EI3.6	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	FoLSM Recruiting PhD student to conduct research into contextual challenges, which adversely impact career progression for women in clinical academia (e.g. use of fixed-term contracts).	Data from research to influence policy changes	July 2022	FoLSM	ongoing raised as part of Athena Swan	Project progressing as planned
EI4.1	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	Focus on providing leadership workshops rather than specifically research staff issues. Increase attendance by PIs at leadership training courses by 50% over the next two years. A flexible, modular self-directed Leadership Passport has also been offered to all managers and leaders to increase learning access and participation. See also ECM1	Data on attendance at training courses. Target increase 50% over the next two years.	Annually in line with action plan reporting period	OD	Project Managment training and support is avaiable via our on-line offering Linked In Learning. Colleagues can access this training in a timely manner. OD also offers information for external courses if colleagues want to access this. EDI have created Dignity at Work policy and support the cultural change and increase of line managers capacity and skills to support staff inclusively.	Training provided but attendance records are not available Clarity on Dignity at Work policy position and foundation for behavioural work established
EI4.2	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	Encourage line managers and directors to receive 360 feedback to review their management performance. Encourage teams to consider Belbin tools for team reflection. Use of Belbin assessment and reflection tool to emphasize team roles and capabilities, to be trialled with SMT, EDI Networks. Coaching on Demand (matching a manager to a coach at a point of need) has been added to the OD Leadership offer in 2020. See also ECM1	Uptake of Principles in Action 360 from 320 since 2019 to 450 in 2020. Belbin team assessment used twice a year with a variety of teams. More than Mentoring scheme feedback demonstrates greater capacity and understanding of inclusive working practices. Coaching partnerships taken up, minimum of 10 per year	July and August 2024	HR OD EDI	As above for offering from OD Belbin delivered (a self reflection and team dynamics coaching) to staff networks by EDI MtM and Mutual Mentoring has run in 2019, 2020 and will run in 2021, managed by EDI	Tools provided but useage data is not available
EI5.1	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	PDR training has continued, including adapting to an online alternative to ensure ongoing access to learning resources during the Covid-19 pandemic. A PDR review in Autumn 2020 will ensure ongoing development including the needs of Research staff Recommendations to improve PDR for the coming year were made to SMT in Dec 2019 included greater effort required to expand the quantity and quality of Research PDRs, which was supported by SMT. See also ECM4	Effective communication sent out Number of PDRs completed, target of minimum of 75% of eligible research staff	April 2021 September 2021 Annually thereafter	Faculties OD	Online courses continue to be offered centrally to support PDR conversations. Training also provided in some faculties. Expectation of 100% of staff having a PDR from two faculties PDRs completed after the time of submission of this action plan so data on completion rates will be collected for 2021 process by year end Most faculties sending out PDR-related communications to their staff	Training offered but attendance records are not available. *FoDOCS: rates have improved*
EI5.2	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	King's has developed a Behavioural Competency Framework - Our Principles in Action - which will be used to support a more rigorous and inclusive approach to interviewing and selecting candidates not only based on qualifications but on skills and a more rounded view of individuals. NMES to pilot the creation of a guidance document to be issued to recruitment panels before each recruitment akin to existing document relating to postgraduate research student recruitment https://internal.kcl.ac.uk/NMS/Staff/HR/PGR-Interview-Guidelines/PGR-Interview-guidelines Other faculties to consider adopting this approach	Agreement on use and scope of document Creation of document Use by recruitment panels Feedback from users	December 2020 April 2021 from April 2021 from April 2021	NMS Other faculties	Project delayed by Covid and REF. Project deadlines put back by 9 months, Creation of document deadline will become approval of document by faculty	REF and COVID have delayed the project
EI5.3	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	Enhance workload allocation models in faculties to provide sufficient time for line management. Facilitate a cross faculty conversation on workload allocation models to move towards more consistency at KCL. ECM1	Workload is felt to be more manageable. Reduction in proportion of staff who feel unable to cope with workload to 40%, compared to 48% in 2017.	Deadlines to be agreed when Covid planning minimised (CV)	Senior Management Team HR OD EDI	Workload Allocation Model research in FNFNMPC and part of ASDT Action Plan.	Project ongoing
EI6.1	Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress	KCL has recently updated its policy on fixed-term contracts, making a commitment to reduce reliance on short-term contracts. Externally-funded fixed-term research contracts should correspond with the duration of the funding for the position in question (which may or may not correspond with the total length of the grant). In the case of a multi-year grant, all appointments should ideally be for a minimum of two years, except where a clear rationale exists as to why a shorter appointment is necessary or appropriate. Ensure compliance with this policy Review and create further policy in collaboration with other Russell Group universities regarding contract length of externally funded contracts See also ECM2	Research staff employed by KCL beyond 4 years moved onto open contracts	Reviewed annually in line with action plan review (CV)	HR Vice-Principal & Vice-President (Education)	No further updates (HR)	No further updates

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) **August 2020 to July 2024**
Update **August 2021**

| EI6.2 | Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress | Further develop and evaluate King's Internal Talent Database (stayatkings.co.uk) aimed at providing interim employment for staff between contracts. See also ECI5.7 | Database used for redeployment processes Annual numbers of jobs posted, research staff uploading profiles and positions filled. See also EM2 | Evaluation ongoing (CV) | CRSD HR | Project on hold for further development pending analysis of King's Research Staff Survey responses, following an initial pause for COVID-induced understaffing and staff changes.

Additional unexpected costs have surfaced that would indicate an alternative hosting system is needed.

The KReSS asked if respondents would use a system for registering availability at the end of a contract to take up a vacant role for the last few months of a grant. 173 (60.3%) responded yes, 27 (9.4%) no, 87 (30.3%) Don't know. Further review of the functionality and feasibility of such a system is required. | Evaluate feasibility of project using KReSS results and cost benefits Decision to be made about continuing it by December 2021 |
EI7.1	Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making	Research staff representation on all faculty research committees and Academic Board. Research staff representatives in all faculties. RSRC representation on CRC. RSRC being the point of contact for research staff input	All positions filled	In line with committee and working group deadlines	Faculties CRSD Senior Management Team	All faculties that have faculty research committees have positions available for research staff. Data for filled places as follows: Academic Board: both seats for postdocs, one from the Health Faculties and one from the Arts and Sciences currently filled One faculty reports full occupancy on their faculty research committee, two report to be recruiting. RSRC currently has 8 members of a total of 12 RSRC has one member on CRC, the second to be recruited RSRC has one filled and one unfilled place on the CRSD Oversight Group	Most roles appear to be filled, although data is not complete.
Funders must:							
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies						
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security						
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression						
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels						
Managers of researchers must:							
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	Engage with courses and other activities offered See also EI4.1, EI4.2 and EI5.3	Improved responses by research staff regarding management issues in national and internal surveys Reduction in complaints of bullying and harassment and other malpractice that research staff refuse to log formally for concerns about reprisal See also EI4.1, EI4.2 and EI5.3	Elective according to individual	Faculties OD EDI Managers of Research Staff	Research staff continue to level poor managment accusations at their managers, as described in the KReSS. For example, the proportion of research staff reporting they had directly experienced or witnessed unfair or disrespectful treatment by a colleague/s at King's that has had an impact on them increased to 35% in 2021 from 30% in 2019. Not all these cases will be managers as perpetrators, but managers have responsibility. Faculties do not generally monitor course attendance as there are no means for collecting the information. One faculty currently reviewing provision	Current provision is clearly not sufficient, either because managers of research staff are not attending courses and other activites, they are not benefitting from the offering or the offering is not delivering the stated intentions.
EM2	Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding	Engage with courses and other activities offered See also EI4.1, EI4.2, EI5.3, EI6.1 and EI6.2	Improved familiarity assessed in staff surveys See also EI4.1, EI4.2, EI5.3, EI6.1 and EI6.2	Elective according to individual	Faculties HR Pre- & Post-Award Managers of Research Staff	Staff surveys have not been carried out since this action plan was devised so there are no data on how many people across the university feel more familiar with these issues One faculty reports that with the support of Professional Services staff this is managed. A second says this is included in PDRs for managers. A third is planning a major overhaul of their strategy that will include this.	the ability to obtain data on this issue would be useful
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	See actions of TFG in EI3.2 above Attend Diversity Matters	Outcomes from TFG Attendance numbers at Diversity Matters See EI3.2	In line with TFG activities and reviewed annualy in line with review period	Faculties HR Managers of Research Staff	Reward and Recognition Task and Finish Group completed Phase I and will report further in phase 2, target date Sept 2021. During the period Jan 2018 to April 2021 2910 staff and 1310 managers attended Diversity Matters	Project ongoing

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

EM4	Actively engage in regular constructive performance management with their researchers	2019 rollup shows 20% increase in research PDR coverage (1355 researchers reviewed in 2018-19 appraisal year compared with 1076 in 2017-18 year). OD will run a PDR Review in Autumn 2020 to better qualify staff experiences of PDR (including Researchers) and use the insights to further develop PDR practice See also EI5.1	Review completed Further insights gleaned and incorporated into future practice	Autumn 2020 Spring 2021	OD HR Faculties Managers of Research Staff	PDR was light touch in 2020 as a result of Covid 19. This makes it difficult to compare with previous years as Covid is likely to have reduced uptake. Of those reporting in the KReSS, 77% said they had a PDR in the previous 2 years, up from 62% in 2019. When asked about the engagement level of their manager in the PDR of those who had had one 80% responded either engaged or very engaged with 20% stating not engaged.	PDR in 2020 inconsistent with previous years because of COVID. This makes it difficult to generate useful findings from a review
EM5	Engage with opportunities to contribute to relevant policy development within their institution	Participate in Departmental and Faculty Research Committees or equivalent Participate in college-wide policy-making groups See also ECI5.6, EI3.1, EI3.2, PCDI1.1 and PCDR1.2	Recording of participation in PDR process	Participation ongoing Reviewed in PDR during summer	Faculties HR EDI CRSD Managers of Research Staff	Managers contribute by membership of various faculty committees. Where participation is monitored this appears good. Opportunities for managers of research staff to engage are still to be established in some faculties. Good representation of managers of research staff from 8/9 faculties in the TFGs and associated working groups.	Managers are contributing to relevant policy development locally and centrally
Researchers must:							
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	See ER4			Research Staff		
ER2	Understand their reporting obligations and responsibilities	See ER4			Research Staff		
ER3	Positively engage with performance management discussions and reviews with their managers	See ER4			Research Staff		
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	Research staff often do not see themselves as key stakeholders as their tenure in this role is usually short-lived. KCL must first recognise them as key stakeholders by recognition of their contribution. This will be addressed by the Reward & Recognition TFG*, action EI3.2 See also EI7.1, PCDI1.1 and PCDR1.2	See EI3.2	See EI3.2	Research Staff	Action delayed initially by COVID-19. Working Group convened and completed Stage 1 by April 2021. Paper published at https://internal.kcl.ac.uk/crsd/kings-research-culture, Results disemminated at Research Staff Town Hall meeting in April and via Research Staff Newsletter. Stage 2 in progress, to be completed by September 2021.	
Professional and Career Development							
Institutions must:							
PCDI1.1	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	Definition of what constitutes Professional Development Understanding what professional development is will enable research staff and their managers to have clarity about what does and does not count within the 10 day allowance. We will evaluate what is acceptable to all parties through a series of focus groups and workshops, addressing also the variation between research fields See also EM5, ER4, PCDI6.1, PCDM2.1, PCDM3.1 and PCDR1.1	Focus groups and workshops organised Attendance of research staff and their managers at focus groups and workshops Agreement on what can be included in the 10 days Information posted on CRSD website with links from faculty websites Uptake of 10 days, addressed using biennial surveys	October 2020 December 2020 Website material by March 2021 Surveys (CEDARS and/or in house) according to national and internal cycles	CRSD Faculties	Project delayed by Covid and staff shortages. Focus Groups and a facilitated workshop conducted in July 2021, organised by the CRSD and using an independent higher education consultant. Attended by research staff and the managers of research staff. Report and findings awaited in Summer 2021. Relevant questions in KReSS 2021 provide additional input	revised deadline for website material, by March 2022
PCDI1.2	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	FoDOCS drafting policy 1.Advocating that researchers take advantage of the 10 days per year to undertake training and to introduce a monitoring system to measure this (see PDCI6.1). All line managers will be informed that the 10 days training is mandatory and that it will be measured 2.Advertising training opportunities and supporting research staff to attend relevant training opportunities that benefit their development Other faculties to consider using the same approach, initially A&H and NMES	Policy drafted Managers informed Faculty-led and central research staff training and support advertised System used Managers enable 10 days	December 2020 January 2021 January 2021 July 2021 and annually thereafter	FoDOCS Other faculties	Policy in progress	Definition of 10 days training incorporated into induction document and draft researcher-supervisor agreement
PCDI1.3	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	Support research staff to gain professional accreditation from the Science Council See also PCDM2.1 and PCDR1.3	Attendance at training sessions Number of people gaining accreditation, target is 50 per year	Annually in line with action plan reporting period	Technical Network	Workshops were oversubscribed and received excellent reviews 124 technical staff have been professionally registered Workshops, structured training sessions are being designed, Technical Managers are very aware and supportive of the 10 days development time and ensure all technical staff use them wisely. Also working with the Kings Academy to allow access to the HE fellowship programme. It will also be disussed in the PDR and promoted via the technical network	Technical staff engaging with the accreditation process well, recognising its value. There is a risk of losing this value with the proposal of removing this kind of funding from King's
PCDI1.4	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	Careers & Employability to launch online system that research staff can use to engage with their services and plan their careers. System includes ability to book appointments online, to receive regular updates regarding service and to engage with online tools to assess stage of career readiness See also PCDR2.1	System roll-out Research staff engaging with system as demonstrated by usage data - target minimum 5% of research staff	Roll-out August 2020 Usage data analysed annually, in review of action plan	Careers & Employability CRSD	System rolled out on time Data on usage not available as the system is not able to differentiate between research staff and students. Research staff are using it as they make appointments through it.	System functional and serving its purpose

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

Ref	Action				Responsibility	Progress	Status
PCDI2.1	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	See EI3.1 and EI5.1	See EI3.1 and EI5.1	See EI3.1 and EI5.1	Faculties OD CRSD	Central PDR support and a new training and development has been put in place. Managers of research staff encouraged to contribute to PDR. KReSS 2021 indicates that there was a decrease in overall usefulness fo the PDR since 2019 although the uptake had increased from 62 to 77% of research staff having had a PDR in the last 2 years.	While more time potentially has been spent the meaningfulness of the PDR appears not to have been maintained.
PCDI3.1	Ensure that researchers have access to professional advice on career management, across a breadth of careers	See PCDI1.4 and PCDR2.1	See PCDI1.4 and PCDR2.1	See PCDI1.4 and PCDR2.1	Careers & Employability	See PCDI1.4 and PCDR2.1	See PCDI1.4 and PCDR2.1
PCDI4.1	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	Comprehensive programme of activities provided by CRSD with additional programmes being added according to circumstances. Additional courses to be added for 2020/22 to include titles related to Covid-19 induced situations and new approaches to online and remote learning See also PCDR2.1	Courses added to portfolio, number dependent on currently unknown budget and currently unknown personnel Online courses developed according to currently unknown ability to attend in person	Reviewed annually in review of action plan	CRSD	Programme of courses delivered as intended in 2020-21 academic year and at July 2021 largely planned for 2021-22 academic year. Significant focus on leadership through 'Leadership Essentials' modules (expanded in 2021-22) and Leadership in Action in collaboration with other HEIs. The programme of courses also features development activity regarding working with managers and coping with unique pressures of remote working under Covid.	Project proceeding according to plan
PCDI4.2	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	FoLSM working to review and relaunch their Research Staff Network. The Research Staff Network supports post docs and research assistants along their career trajectories and ensures that the research staff community participates in decision making at the Faculty level.	Network relaunched Research staff reps active at faculty (Faculty Research Committee and university (RSRC) level	December 2020	FoLSM Faculty Lead (Development, Diversity & Culture Change); Faculty Research Manager; Research Staff Network Committee	Research committee started again, rep from CRSD invited. Research staff committee - establishing school networks/committees and will then establish Faculty Research staff committee - hoping to relaunch by Sept 2021	project behind schedule but progressing
PCDI5.1	Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this	Continue to provide careers events and online resources addressing careers that are not being an academic See also PCDR2.1	Continuation of programme Availability of staff to deliver programme following Covid-19-related cuts	Reviewed annually in review of action plan	Careers & Employability CRSD	Careers in...' panel sessions organised by Careers and Employability throughout 2020-21 and scheduled again for 2021-22. Scheduled in collaboration with CRSD to avoid diary clashes.	programme continues to be provided
PCDI6.1	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	Generate a platform that can be used to document engagement with professional development and career progression that is linked to other processes within the university, e.g. SkillsForge, for automatic download. See also PCDM1.1 and PCDR3.1	Platform options researched Platform generated Pilot of platform Roll-out to all research staff Evaluation, following PDR season Target usage minimum of 5% of research staff	October 2020 March 2021 May 2021 September 2021 September 2022	Faculties OD CRSD	Recording platform project on hold due to Covid and staff changes, will be evaluated for later development in light of the King's Research Staff Survey responses.	project behind schedule but progressing
Funders must:							
PCDF1	Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning						
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes						
PCDF3	Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit						
Managers of researchers must:							
PCDM1.1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	HR system to actively monitor the PDR process Faculties to ensure both line managers and research staff are aware of the need to include training and development needs in the PDR document. See also PCDI6.1	Accurate reporting of PDRs occurring Research staff reporting PDR fit for purpose in national and internal surveys	Annually in line with PDR cycle	Faculties OD Managers of Research Staff	HR System not yet ready to monitor PDR process According to the 2021 KReSS the value of the PDR to research staff has decreased in every category since 2019 with the drop for leading to development being the greatest of 13%. Some faculties report sending relevant information.	It is possible there is an impact of Covid-19 and the uncertainting it has created having an impact on this initiative. Nevertheless, it is clear that the message that the PDR should include training and development needs should be more effectively disseminated.

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

PCDM1.2	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	The Managers toolkit is designed to support both academic and professional services managers, in managing their teams effectively, as well as their own development. Promoted and managed via our Learning and Development platform, the toolkit allows managers to connect to further development opportunities such as mentoring and coaching to help with their own career conversations. https://internal.kcl.ac.uk/hr/od/managertoolkit	Downloads and Website hits of the toolkit, target minimum 5% of managers. Uptake and attendance details of external coaching support. Breakdown of number of researchers entering into mentoring programme(s).	Ongoing Reviewed annually in line with action plan review	OD Managers of Research Staff	Managers are using the toolkit. Full evaluation of the numbers is pending	Pending
PCDM2.1	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	Promotion of careers services and resources through @kcldo1thing Twitter account, Faculty Newsletters from Careers Service, careers membership of Faculty committees All channels of communication from careers service communicate regularly with managers and staff. Monthly bespoke researcher careers newsletter, Twitter account with 1000+ followers and all specialist careers consultants sit on relevant faculty committees. See also PCDI1.1, PCDI1.3 and PCDI6.1	Regular communications messages sent out according to actions list Research staff attending events, 20% on average of all available places to be filled as a minimum	According to schedule for communication method	Careers & Employability CRSD Managers of Research Staff	Research staff receive a monthly newsletter from King's Careers & Employability in addition to information that comes to them about careers-related activities through the CRSD newsletter Moving activities online has allowed attendance numbers to increase to the point that a minimum of 20% being filled is no longer a useful benchmark. Research staff are attending events (see PCDR2.1)	Research staff are clearly using t he relevant resources.
PCDM2.2	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	All managers or departments where not possible for managers to provide a statement on their webpage or other location to the effect that they support their research staff and PhD students in their career choice, whatever that may be.	Percentage of managers with this information posted, target minimum in first round 5%	First round by July 2021, ongoing thereafter	Faculties CRSD Managers of Research Staff	Not well publicised and monitoring process needs to be put in place.	project stalled, needs to be invigorated
PCDM2.3	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	NEW ACTION King's Future Leaders, funded by a grant from the FLF Plus Funds with the support of Vitae, will create a toolkit to support managers of research staff to champion the career development and progression of Early Career Researchers. This toolkit will be piloted at King's and two other universities and is intended to be rolled out across the UK after development via Vitae and the FLF Network.	1.Development of a toolkit (including implementation guide) to support institutions and ECR line managers that is generalisable nationally (evidenced by production of the toolkit). 2.Uptake of toolkit by UKRI FLFs in their roles as ECR line managers (monitoring through future FLF networking meetings). 3.Incorporation of toolkit into local processes e.g., performance development review, induction for new line managers (through asking for reports from FLFs on uptake in their institutions). 4.Dissemination of mapping and toolkit to other institution through publications, FLFs and Vitae (recording of downloads from Vitae website)	1. May 2022 2. Launch of Pilot May 2022 3. October 2022 4. October 2022	Katie Sheehan Andrew Guise	Funds awarded in May 2021 Initiation of project planned for Vitae Connections in Sept 2021 Project to begin officially in October 2021	Project already garnering interest through Vitae Connections programme information.
PCDM3.1	Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development	Defining what comes within the category of professional development (see PCDI1.1), development of a platform to record professional development activities (see PCDI6.1) will support this.	Research staff reports of days spent on professional development in surveys. Numbers will be dependent on outcome of PCDI6.1	Annually in line with internal and national surveys	Managers of Research Staff	Platform delayed by Covid-19, currently undergoing review following responses to relevant questions in the KReSS Managers of research staff contributed to a focus group and workshop on this topic. Outcomes being compiled into a report that will be available in September 2021	Project ongoing
PCDM4.1	Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours	Managers to engage in the process of defining what these activities might be See also PCDI1.1	See PCDI1.1	See PCDI1.1	Managers of Research Staff	Managers of research staff contributed to a focus group and workshop on this topic. Outcomes being compiled into a report that will be available in September 2021	project ongoing
PCDM5.1	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	A&H to pilot creating a series of podcasts and coupling them with group discussions between managers of research staff using skilled facilitators to encourage fruitful discussion	Managers reflecting on their relationship with their managees as ascertained in pre- and post-event surveys following Kirkpatrick process Outcomes in wider staff surveys	Planning of podcasts by September 2020, creation by December 2020, remainder by August 2021 First discussion groups by December 2020 with others to follow alternate months in 2021/22	A&H Managers of Research Staff	Underway but held up by COVID and REF workload	Project ongoing
Researchers must:						

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) **August 2020 to July 2024**
Update August 2021

PCDR1.1	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year	According to the CROS, most research staff do feel they take ownership, but they don't necessarily engage with professional development or are aware that they are doing this. Having a definition of what this is (see PCDI1.1) may help.	See PCDI1.1	See PCDI1.1	Research Staff	Research staff contributed via surveys and workshop on this topic. Outcomes being compiled into a report that will be available in September 2021	Project ongoing
PCDR1.2	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year	FoLSM working to review and relaunch their Research Staff Network. The Research Staff Network supports post docs and research assistants along their career trajectories and ensures that the research staff community participates in decision making at the Faculty level. See also ER4	Network relaunched. Research staff reps active at faculty (Faculty Research Committee and university (RSRC) level	December 2020	Research Staff FoLSM	Research committee started again, rep from CRSD invited. Research staff committee - establishing school networks/committees and will then establish Faculty Research staff committee - hoping to relaunch by Sept 2021	Project ongoing
PCDR1.3	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year	Staff supported to gain professional accreditation from the Science Council. See also PCDI1.3	Attendance at training sessions. Number of people gaining accreditation, target is 50 per year	Elective, according to individual. Reviewed annually, in review of action plan	Technical Network Research Staff	Workshops, structured training sessions are being designed. also working with the Kings Academy to allow access to the HE fellowship programme. Trained mentors are working on professional registration via the Science Council which is on target	Accreditation continues to be sought but is at risk because of potential loss of funding following withdrawal decision at senior level
PCDR2.1	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	Research staff to make use of existing comprehensive offering. See also PCDI3.1, PCDI4.1 and PCDR5.1	Appointments with careers professionals. Attendance at events around range of employment options. Target, to maintain minimum of current figures	Annually, in review of action plan	Research Staff	284 Research Staff attended all King's Careers & Employability events June 2020-June 2021. 166 Research Staff attended one:one appointments. 147 Research Staff accessed King's Careers & Employability KEATS information. This time last year it was not possible to differentiate between PGRs and Research Staff, so unfortunately we can't give a comparison. However, we can say that there is a slight decrease overall in the number of PGR students and Research Staff attending Careers events from year to year (though they attended an increased number of events overall), while there is a slight increase in one:one appointment take up.

CRSD Mentoring training run three times in 2020-21 academic year. Use of this training and other faculty connections to grow pool of mentors available to research staff through the platform. The latest training in July 2021 was attended by 27 mentors and mentees. This includes mentors from faculties previously unrepresented (including A&H and FNFNMPC). 5 research staff participating in Wellcome Broadening Horizons mentoring programme | A proportion of research staff are making use of available resources |
PCDR3.1	Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications	To use when developed, the online tool described in PCDI6.1	Engagement with online tool. See PCDI6.1	Elective according to individual	Research Staff	Project on hold for further development pending analysis of King's Research Staff Survey responses, following an initial pause for COVID-induced understaffing and staff changes. Analysis of requirement currently being carried out	Project ongoing, delayed by Covid
PCDR4.1	Positively engage in career development reviews with their managers	Research staff make use of available resources to support PDR conversations https://internal.kcl.ac.uk/crsd/Professional-Development-Options-Resources/preparing-for-your-pdr	Data on use of resources to increase by 20% on previous reporting period. Responses to relevant surveys	Annually, in review of action plan. Surveys national or internal on normal cycles or on demand	OD Faculties CRSD Research Staff	Research staff are making use of the 'Preparing for your PDR' on the CRSD internal webpages. It is the second most visited page after the courses page, with 1138 unique visitors between August 2019-July 2021. Resources continue to be availabe on CRSD internal pages. Programme of professional development courses has included 'Getting the Most Out of Your PDR' in 2020-21 and this course is also scheduled for 2021-22. Some Faculties are signposting and/or producing their own resources	Research staff are clearly using the relevant resources. Despite this they report less satisfaction with the PDR in the 2021 KReSS. This could also be as a result of Covid and their future expectations. Resources to continue to be provided
PCDR5.1	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	Take up role of research staff representative or related See also ER4 and ECR5.1	Numbers of research staff representatives, minimum 1 per faculty in RSRC	Dependent on representative panel	Faculties CRSD Research Staff	Research staff representation on the RSRC is almost complete. There appeared to be a certain reluctance this year, annecdotally as a result of Covid-19 and the resulting uncertainty about future prospects. Representatives who have been on the committee over the last 10 months have contributed to the development of courses addressing bullying & harassment and other policy making processes. Two representatives currently serving on Academic Board. Data on representation for committees and other areas beyond the RSRC to be gathered.	Continue to seek representatives to keep up the membership of the RSRC and other leadership roles

Concordat to Support the Career Development of Researchers
Action plan (template from HR Excellence in Research Award) August 2020 to July 2024
Update August 2021

| PCDR6.1 | Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation | Research staff to make use of existing comprehensive offering, routinely advertised in weekly research staff newsletter | Responses to relevant surveys | Surveys national or internal on normal cycles or on demand | Faculties CRSD Entrepreneurship Institute Policy Institute Research Staff | Research staff provided with access to e.g. offering from the Entrepreneurship and Policy Institutes. Obtaining data internally is difficult, although 8 research staff have been funded by the Impact Acceleration Account, representing 16% of all these projects. Responses to the KReSS indicate a desire to undertake training in these areas and that the majority have not engaged in training but would like to. When it comes to putting the training into practice generally more than half of those who had attended training have had the opportunity to do so. | Indication is that research staff are engaging with these opportunities although more clarity regarding the breadth and depth of their engagement would be useful. |
| | *Aligns with the new Research Strategy | | | | | | |

College Education Committee, Committee of Academic Board

(Ordinance Appendix B, 23 November 2021)

Terms of Reference

1. Authority

The College Education Committee will provide strategic leadership of education for the College. It will ensure that the College's academic taught provision aligns with national expectations for quality and academic standards and enhances students' learning experience. The Committee will promote:

- risk-management approaches in relation to quality assurance, providing oversight of the quality and academic standards of students' learning opportunities and learning experience, advising Academic Board of any issues and areas of good practice
- enhancement in learning, teaching, and assessment
- an ethos of students as co-creators of the education experience

2. Duties

On behalf of Academic Board, the College Education Committee will:

2.1   Monitor and review the implementation of the College's Education Strategy 2017 - 2022

2.2   Oversee the implementation of Faculty education strategies and the monitoring of performance indicators

2.3   Develop and maintain oversight of the College's strategies and policies relating to the full life-cycle of students' education (recruitment, retention, progression, and degree outcomes) and ensuring institutional compliance with external requirements

2.4   Monitor and report on the quality assurance and quality enhancement framework, taking into account both the internal and external context as they apply to taught education provision, including collaborative, flexible and distributed and distance learning provision

2.5   Maintain oversight of the programme and module approval, amendment and withdrawal procedures, and receive reports on proposals for new programmes and/or withdrawal of existing programmes (and short courses) from the Programme Development and Approval Sub-Committee

2.6   Promote enhancement in learning, teaching, assessment, and the student experience through the identification and dissemination of good practice

2.7   Have oversight of the quality of students' learning opportunities and learning experiences, advising Academic Board of any rising issues or areas of good practice

2.8   Have oversight and responsibility for the College's approach to the Teaching Excellence and Student Outcomes Framework (TEF) and monitoring the on-going conditions of registration with the Office for Students.

2.9   Receive reports from the Academic Standards Sub-Committee on the:
- monitoring and evaluation of processes to assure the Committee of the academic standards of taught programmes
- analysis of relevant performance indicators in relation to student performance and achievement

2.10   Receive regular reports from the following areas:
- Collaborative Provision Sub Committee (CPSC) – to provide updates on the conduct of the College's collaborative arrangements with partner institutions and for the strategic development of policies relating to collaborative provision
- Education & Students Transformation Board – to provide updates on the status of transformation projects and their impact
- King's Academy Advisory Board – to provide updates on the work and activities of the King's Academy
- King's College London Student Union (KCLSU) – to provide updates on the work and activities of the KCLSU Officers

2.102.11 Champion inclusive education and monitor the equality and diversity dimensions of learning and teaching provision

2.112.12 Oversee Faculty governance structures for education, receiving regular reports from Faculty Education Committee on their areas of business and any issues that need to be raised at CEC

2.122.13 Receive annual overview reports of:
- UG/PGT external examiners reports
- UG/PGT programme enhancement reports
- Activities within the Education and Students Function
- Faculty Education Committee governance

2.13   In support of these duties, the Committee will:

2.13.1   form subcommittees, working groups and task and finish groups as needed, including:
- Academic Standards Sub-Committee
- Collaborative Provision Sub-Committee
- Programme Development and Approval Sub-Committee

2.13.2   review the relevance and value of its work on an annual basis

2.13.3   review its terms of reference on an annual basis.

3. Composition

3.1   The College Education Committee shall be appointed by Academic Board and shall comprise:

3.1.1   Vice President & Vice-Principal (Education) (in the chair)

3.1.2   One Faculty Member and one alternate per faculty.

~~3.1.2~~3.1.3   One Member and one alternate from the King's School of Professional & Continuing Education

3.1.3   Senior Vice President (Academic)~~Dean for Education (English Language Centre)~~

3.1.4

3.1.5   Vice President & Vice-Principal (Global Engagement~~International~~)

3.1.6   Vice President and Vice-Principal (Research)

~~3.1.4~~3.1.7   Digital Education Academic Lead

~~3.1.5~~3.1.8   Postgraduate Taught Lead

~~3.1.6~~3.1.9   Chair of the Academic Standards Sub-Committee

~~3.1.7~~3.1.10   Chair of the Collaborative Provision Sub-Committee

~~3.1.8~~3.1.11   Chair of the Programme Development and Approval Sub-Committee

~~3.1.9~~3.1.12   Executive Director of Students and Education

~~3.1.10~~3.1.13   Director, Library and Collections

~~3.1.11~~3.1.14   Strategic Programmes Director, Education & Students Directorate

~~3.1.12~~3.1.15   Strategic Directors, Education & Students Directorate

~~3.1.13~~3.1.16   Associate Director, King's Academy

~~3.1.14~~3.1.17   KCLSU President or nominee (for unreserved business only)

~~3.1.15~~3.1.18   KCLSU Vice-Presidents for Education (for unreserved business only)

~~3.1.16~~3.1.19   KCLSU Vice-President for Postgraduate (for unreserved business only)

3.2   There shall be a Deputy Chair, nominated by the Vice President and Vice-Principal (Education) from amongst the members of the Committee

3.3   The following shall have the right to attend meetings of the Committee, but are not members of the Committee:

3.3.1   Associate Director, Academic Regulations and Policy Compliance

3.3.2   ~~Vice President & Vice-Principal (Research)~~Associate Director, Education Transformation

3.3.3   Associate Director, King's Academy ~~(Quality, Standards & Enhancement)~~

3.3.4   Head of CTEL/Education Solutions

3.3.5   Executive Director, King's Online

3.3.6   Director of Brand and Marketing

3.3.7   College Secretary

3.3.8   Communications Business Partner

3.3.9   Two Associate Directors (Education) – one from the arts and sciences faculties and one from the health faculties

~~3.3.4~~3.3.10   Other officers of the College may also be permitted by the Chair to attend the College Education Committee either permanently or for particular meetings.

3.4   The College Secretary or his/her designate shall act as Secretary to the College Education Committee.

4.   Frequency of Meetings

The College Education Committee will meet at least six times in each year.

5.   Reporting Procedures

The College Education Committee will report to the Academic Board at least annually.

College Research Committee,
Committee of Academic Board

(Ordinance Appendix B, 23 November 20211 August 2019)

Terms of Reference

1.   Authority

The primary responsibility of the College Research Committee is to advise the College through Academic Board on the development of College strategy and policy affecting research and on quality assurance and regulatory issues and on the sharing of good practice.

2.   Duties

2.1   To advise the College through Academic Board on the development of College strategy and policy affecting research.

2.2   To advise the College through Academic Board on quality assurance and regulatory issues and on the sharing of good practice

2.3   To provide a forum for problem-solving and the sharing of best practice in research and research management.

2.4   To identify and facilitate opportunities for interdisciplinary research and inter-departmental, inter-School and inter-institutional co-operation.

2.5   To liaise with Faculty Research Committees (or their equivalent) and other bodies as appropriate.

2.6   To consider research policy initiatives from Research England, UKRI, and other external bodies and the College's response to them.

2.7   To allocate such resources in support of research as the College may from time to time make available to the Committee.

2.8   To monitor the implementation and effectiveness of the College's strategy and policies on research, including its submission for the Research Excellence Framework.

2.9   To oversee the College's strategy on research impact including IP and licensing and commercialisation of research.

2.10   To oversee the College's strategy and policies on postgraduate research students.

2.11   To keep under review the support structures in place for research.

2.12   In support of these duties, the Committee will:

2.12.1   form subcommittees, working groups and task and finish groups as needed, including the following:

> College Research Ethics Committee
> Postgraduate Research Students Subcommittee
> King's Open Research Group Initiative
> Metric Tide Working Group.

2.12.2   review the relevance and value of its work on an annual basis;

2.12.2   review its terms of reference on an annual basis.

3.   Composition

3.1   The College Research Committee shall be appointed by Academic Board and shall comprise:

3.1.1   Vice President & Vice-Principal (Research) (in the chair)

3.1.2   Senior Vice President (Academic)

3.1.3   Faculty Pro/Vice-Deans for Research/Impact and/or Innovation

3.1.4   Chairs of Faculty Research Committees (or equivalent)

3.1.5   Senior Vice President, Quality, Strategy and InnovationDirector of Research Strategy and Development

3.1.6   Director of Research Strategy Delivery

3.1.7   Director of Research Grants and Contracts

3.1.8   Director of IP and Licensing

3.1.9   Director of Research Development (Health)

3.1.10   Director of Research Development (Arts and Sciences)

3.1.23.1.11   Director of eResearch

3.1.3   Vice President / Vice-Principal (Education)

3.1.43.1.12   Director of Research Talent

3.1.53.1.13   Operations Director (Research & Researchers)

3.1.63.1.14   Head of Research Operations

3.1.73.1.15   Head of Open Research

3.1.16   Director of Libraries and Collections

3.1.17   Director of Research Governance, Ethics and Integrity

3.1.18   REF/KEF Director

3.1.83.1.19   REF Delivery Director

3.1.93.1.20   Dean of Doctoral Studies

3.1.21   Director of Library Services and Employability (or nominee)Chair of College Research Ethics Committee

3.1.10   Chair of Research Staff Representative Committee
3.1.11
3.1.123.1.22   Head of the Arts and Sciences Research Office

3.1.133.1.23   Two research student members

3.1.143.1.24   Two postdoctoral researchers

3.2   The Committee may co-opt additional staff members as necessary.

3.3   Where members of the Committee are not able to attend a particular meeting, they are encouraged to send a replacement. In the case of members of the Committee from Faculties the replacement members should also be a member of academic staff. Permanent invitees may also send replacements when they are not able to attend.

3.4   Officers of the College may also be permitted by the Chair to attend the College Research Committee either permanently or for particular meetings.

3.5   The College Secretary or his/her designate shall act as Secretary to the College International Committee.

4.   Frequency of Meetings

The College Research Committee will meet at least four times in each year.

5.   Reporting Procedure

5.1   The College Research Committee will report to the Academic Board at least annually.

5.2   Papers for meetings will be circulated electronically to members. and permanent invitees and to the following officers for information: Deans of Faculties, Faculty Directors of Administration, and Faculty Research Support Managers (of equivalent).

These pages have been redacted

Report of the KCLSU President

Action required

☐ For approval
☒ For discussion
☐ To note

Executive summary

This report outlines a summary of actions being undertaken by the King's College London Students' Union's (KCLSU) Sabbatical Officers. This role is pertinent in representing the student voice to the highest governing body of KCL which is College Council. The Sabbatical Officers have the unique opportunity to implement changes which they believe are required in the university space and the HE sector more broadly through their own lived experiences as a KCL (university) student. These can be achieved through their involvement in the different high-level committees at KCL or through liaising with National Union for Students (NUS).

Objectives are identified based upon personal areas of interests but also the constantly changing needs of students. There are a broad range of priorities that can be summarised into categories, as outlined below; however, a more in-depth view of the objectives for the year is available in the Officers' report (**Annex 1**).

The 21/22 Officer Team:

President – Zahra Syed (ZS)

VP Community and Welfare – Muhammed Daniyal Ubaidullah (DU)

VP Education (Health) – Fatimah Patel (FP)

VP Education (Arts and Sciences) – Hamza Lone (HL)

VP Postgraduate – Rebecca Selling (RS)

VP Activities and Development- Arsalan Zafar (AZ)

'Education Officers' refers to the Sabbatical Officers whose remit is education-based and includes both VP Education (Arts and Sciences), VP Education (Health) and VP Postgraduate. The Education Officers and the President hold ex-officio positions on the Academic Board.

KCLSU President's Report

Summary of Annex 1 [Officers Report]

The student experience is an evolving entity, which has led to an evolution in the priorities of the KCLSU sabbatical officers to ensure that objectives are in line with the needs of students. In addition, the unique challenge of the covid-19 pandemic further strengthens the condition of the student's voice to be heard and recognised. To ensure that these challenges are captured effectively, the Officer's report is broken down into three key sections, which articulate emerging issues, strategic issues, and specific issues pertinent to the role of the sabbatical officer. The student experience includes academic study but also the non-academic areas which students participate in.

Section One

Section one of the report highlights tactical yet critical issues that students have raised as part of their student experience with the start of term. Section one is an evolutionary area that will be updated to highlight the student experience alongside the student life cycle and their interactions during the term. The below summary highlights some of the issues raised:

UCU Strikes: KCLSU held a members' meeting on Friday 26 October followed by a ballot on whether the KCLSU should be in support of strikes. 800 students voted in the ballot and majority of the students voted against the strikes. However, it is important to caveat that the students have voted against the disruption to their education not against our academics and lecturers.

GTA Pay: Majority of the demographic who voted in support of the strikes in our ballot were the Postgraduate Research Student community. There has been an added layer of frustration within the community as GTAs have not been paid on time during the complex bureaucratic frontiers of KCL HR.

Drink Spiking: There has been a national rise in issues surrounding drink spiking evident in the news such as here: https://www.theguardian.com/uk-news/2021/oct/20/home-office-intervenes-over-spate-of-alleged-spikings-on-nights-out. Our student body has been feeling quite anxious regarding these incidents, creating a sense of fear particularly amongst our female student body with the correlation this has on (sexual) harassment. President Zahra Syed is meeting with

different student groups to develop a strategy of student safety in our campus spaces. Our KCLSU bars and venues are strictly regulated and monitored and whilst cannot guarantee that such incidents will never take place we can ensure that we have taken all the measures possible to provide student safety in our venues. You can read the officer statement on KCLSU and a piece in our news tabloid Roar in which President Zahra Syed commented on here:

https://www.kclsu.org/news/article/6015/Drink-spiking-on-the-increase-in-London/

http://roarnews.co.uk/2021/drink-spiking-what-can-kcl-london-and-the-uk-actually-do/

Increased student numbers: KCL's success in attracting more UG students choosing KCL as their preferred choice brings challenges of accommodating such large student numbers. Some specific concerns are, Common Year One i.e., sufficient clinical and lab space provision for our CYO students. But critically, this is the second year that KCL is welcoming a significantly higher number than expected of UG students, so it is essential to fully understand the impact this has had on the student experience.

Timetabling: KCLSU has gathered from emails and conversations several cases of students not receiving their timetables. For instance, KCLSU received several communications from FoLSM, Common Year One students who said that they have not received their timetables on time despite the commitment to all students that these would be accessible on the 16th of September. Additionally, there have been issues with the timetabling software not working and having intermittent accessibility issues, i.e. students cannot log onto the site.

Keep it real / Face to Face teaching: Face-to-face learning has become an essential requirement for students and the demand for such has resulted in the Keep it Real campaign. The strongest criticism from the student body comes from a marked difference in their experience. i.e. students from one programme have more face-to-face interactions in comparison to those in other programmes.

Student Identity card: Student ID cards for UK home students were posted to their home addresses. However, despite this, there were several UK- home students who did not receive their student ID cards. Furthermore, students that did not get their ID cards, were not aware of how to get them and complained about being moved from one campus to another.

Face covering and consistency: There seems to be a discrepancy in how KCL central communication is pushing for a strongly encouraging approach for face coverings vs. how it is being implemented locally. For instance, certain academics are stating that this is mandatory and certain locations e.g., KCL Libraries have stated that students are expected to wear face-coverings and turning students away upon not meeting the guidelines. This, in turn, has led to be a source of confusion for many students.

Visa and Immigration Concerns: International students are experiencing issues as they try to arrive on campus by the 18 October deadline due to high student numbers, the backlog of UKVI cases because of Covid, and regional issues (i.e. backlog in Malaysia). These delays mean that although students might want to come to the UK, they are not able to as failure to arrive by the deadline infringes their Student Visa status.

Section Two

Section two of the Officer's report highlights seven strategic projects that KCL and KCLSU will jointly work on that map across the various strands of KCL and KCLSU's strategy, these projects have been listed below:

Academic Representation and Academic Societies: There is a need to review how academic representation operates within both KCL and KCLSU in light of the SUMS review. There are a variety of different academic representation platforms that exist across KCL with various degrees of engagement. It is important to understand how best we could strengthen these voices to increase the academic experience of students. Equally, it will be good to see how existing models of student engagement such as academic societies could be utilized to further enhance the academic experience.

Partnership and Co-Creation (Advice Services): There have been roles, areas, and functions that seem to create a challenge of impartiality for students, i.e., housing advice concerning KCL accommodation being provided by KCL housing advice. In addition, there seems to have been roles created that duplicate activity that KCLSU is already doing, i.e. KCL staff roles that have clear requirements to support student activities. It will be good to address these issues and ensure that we understand how we would tackle impartiality and overcome duplication areas of our services.

Wellbeing and Mental Health: Well-being and mental health are key issues of focus for KCL and KCLSU, and with covid, these issues have become more prevalent. There is a need to understand these issues and ensure a joined-up approach to properly address well-being and mental health issues.

PG Experience: PG students form over 50% of KCL's student body, however, levels of engagement with PG students are limited. This is more acute for PGR students. Henceforth, it is of pertinence to have an agreed approach towards increased PG student engagement which ultimately would result in a positive student experience.

Freedom of Expression: Freedom of Expression (FoE) is a topical issue. With the government looking to legislate FoE, it is important KCL and KCLSU understand the implications so that students are provided with guidance to comply with new legislation and express their views. This is likely to impact a large number of societies that KCLSU facilitates and will require KCLSU to review its position on its safe space policy.

Anti-Harassment: KCLSU and KCL have a zero-tolerance stance towards all forms of harassment. Two key areas need reviewing:
  (i) How KCL and KCLSU message their position and educate our community on harassment and its impacts.
  (ii) How we ensure confidence within our student body to encourage and support those that have been victims of harassment to report and in turn receive and adequate level of support.

Careers: There is a need to understand how KCL careers and the activities KCLSU provides can best support our students to increase employability. Equally, with the increasing number of Russell Group graduates, there is a need to distinguish a KCL graduate from the rest of the competition.

Contents

Summary

This report is broken down into three sections,

Section 1: highlights the academic issues that have been raised by students to the sabbatical officer team or the Students' Union. In turn, these matters have been raised to the respective colleagues at KCL to resolve.

Section 2: highlights the collective projects that the officers agreed to take on in light of issues that have emerged due to COVID-19 as well as a need to respond to government changes that impact KCLSU members.

Section 3: highlights the campaigns of each sabbatical officer, which stem from their manifestos.

The method for depicting progress is done on an academic year basis and broken down into 3 terms, (term 1, 2 and 3). The status section indicates if the campaign or project is on track.

Each of the projects will contain the initials of the sabbatical officers as listed below:

President – Zahra Syed (ZS)
VP Activities and Development- Arsalan Zafar (AZ)
VP Education (Arts and Sciences) – Hamza Lone (HL)
VP Education (Health) – Fatimah Patel (FP)
VP Postgraduate – Rebecca Selling (RS)
VP Community and Welfare – Muhammed Daniyal Ubaidullah (DU)

'Education Officers' refers to the sabbatical officers whose remit is education-based and includes both VP Education (Arts and Sciences); VP Education (Health) and VP Postgraduate.

Key

Diagram 1: Keys

Keys

Priority	Officer	Importance Level	Method/Rationale	Outcome and Impact	Termly Progress			Overall
The name of the campaign	The lead officer or groups of officers	High Middle Low	Why this is being looked into	Key outcomes	R	A	G	G

Progress color must be agreed with officer team prior to reporting to outside of KCLSU.

Tracking Key – termly progress

Red	Amber	Green
0 – 25% complete	26 – 75% complete	76 – 100% complete

Tracking Key – Status progress

Red	Amber	Green
Progress not likely – complication	Some progress, some areas need clarification	On track, no foreseeable problem

Blue
Projects that have not commenced or delayed

Termly updates

Please include 'B' "R", "A" or "G" in boxes.
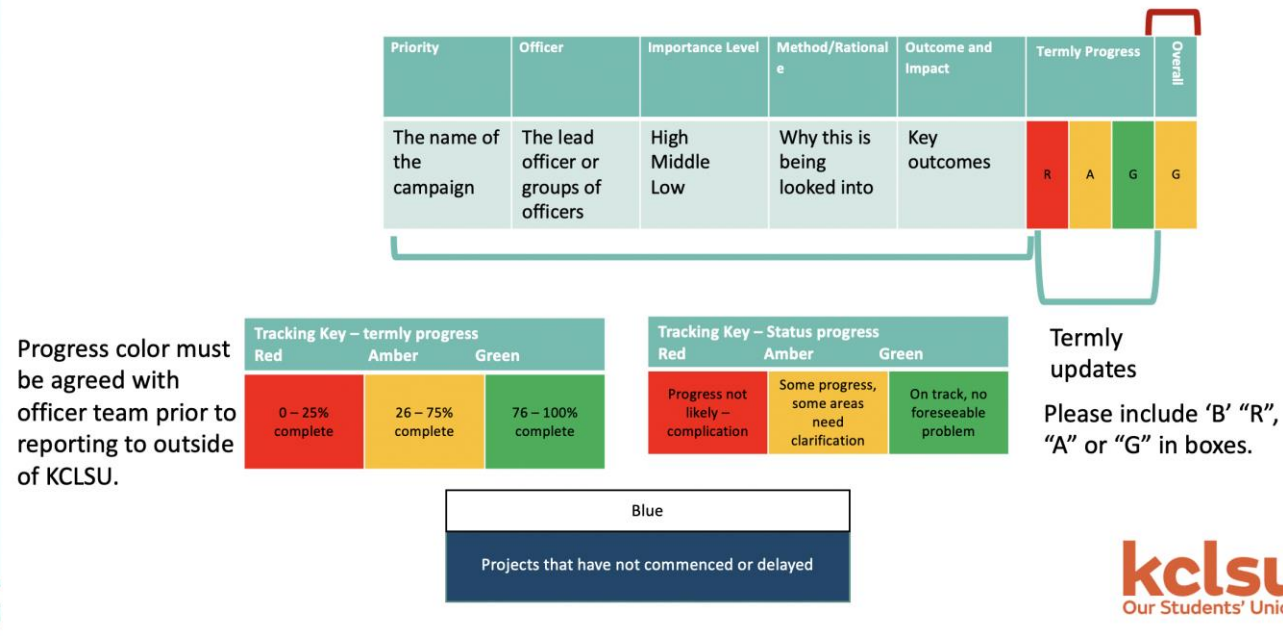
kclsu
Our Students' Union

Figure 1: depicts the progress on each of the objectives and clarifies the meaning o f each colour and column

Section 1: Student Experience

The sabbatical officer team has been speaking to students on the ground and have been able to identify a series of issues that have been raised in terms of their experience. Table 1 captures issues affecting student experience and shows the steps taken by the sabbatical officer team.

Table 1: Student Experience

No	Date/Board Raised	Issue	Detail	Update	Next steps
1	College Council 23rd Nov 2021	UCU Strikes	KCLSU has held a members' meeting on Friday the 26th of October and a ballot on the motion of whether the KCLSU should be in support of strikes. 800 students voted in the ballot and the majority of the students voted against the strikes. However, it is important to caveat that the students have voted against the disruption to their education, not against our academics and lecturers.	We await the outcome for the UCU ballot which closes on the 4th of November.	The KCLSU officers will reconvene depending the outcome of the ballot and will take action if a strike materialises.
2	College Council 23rd Nov 2021	GTA Pay	Majority of the demographic who voted in support of the strikes in our ballot were from the Postgraduate Research Student community. There has been an added layer of frustration within the community as GTAs have not been paid on time during the complex bureaucratic frontiers of KCL HR.	VPPG Rebecca Seling will meet with the postgraduate research community/ GTAs to discuss their concerns as there is a strong dissatisfaction amongst the community.	
3	College Council 23rd Nov 2021	Drink Spiking	There has been a national rise in issues surrounding drink spiking evident in the news such as here: https://www.theguardian.com/uk-news/2021/oct/20/home-office-intervenes-over-spate-of-alleged-spikings-on-nights-out Our student body has been feeling quite anxious regarding these incidents, with a tangible sense of fearparticularly amongst our	KCLSU has responded to the open letter published here: http://roarnews.co.uk/2021/society-presidents-demand-kcl-intervention-on-gendered-violence-in-open-letter/	President Zahra Syed will meet with the campaign groups/ societies to see how we can better tackle these issues.

			female student body given the link to (sexual) harassment. President Zahra Syed is meeting with different student groups to develop a strategy of student safety in our campus spaces. Our KCLSU bars and venues are strictly regulated and monitored and whilst there cannot be an absolute guarantee that such incidents will never take place we can ensure that we have taken all the measures possible to provide student safety in our venues. You can read the officer statement on KCLSU and a piece in our news tabloid Roar in which President Zahra Syed commented on here: https://www.kclsu.org/news/article/6015/Drink-spiking-on-the-increase-in-London/ http://roarnews.co.uk/2021/drink-spiking-what-can-kcl-london-and-the-uk-actually-do/		
4	Academic Board 3rd Nov 2021	Increased student numbers	KCL's success in attracting more UG students choosing KCL as their preferred choice brings challenges of how to accommodate such large student numbers. Some specific concerns are: • common year one • sufficient clinical and lab space provision for our students. Critically, this is the second year that KCL is welcoming a significantly higher than expected number of UG students, so it is important to fully understand the impact on the student experience.	KCLSU President and CEO were placed on the Tiger Team, to understand the issues at hand. Furthermore, both KCLSU President and CEO are on MRAG to understand student numbers.	Review student impact via student voice channels and feedback back to appropriate committees.

5	Academic Board 3rd Nov 2021	Timetabling	We have gathered from emails and conversations, several cases of students not receiving their timetables. For instance, KCLSU received several communications from FoLSM Common Year One students who said that they have not received their timetables on time despite the commitment to all students that these would be accessible on the 16th of September. Additionally, there have been issues with the timetabling software not working and having intermittent accessibility issues i.e. students not being able to log onto the site.	The issue has been raised with SED and we have been made aware that third-party software is being used for timetabling. The officers believe that this is a recurring issue, so will be keen to see a permanent solution.	Liaise with SED colleagues and understand how we can best negate such experiences in the future.
6	Academic Board 3rd Nov 2021	Keep it real / Face to Face teaching.	Face to face learning has become an extremely important requirement for students and the demand for such has resulted in the Keep it Real campaign The strongest criticism from the student body comes from a marked difference in their experience. i.e. students from one programme have more face to face interactions than those on other programmes.	The student leader for the campaign has appeared in the media & shared their experience, including Sunday Times and BBC Radio 4	Discuss how face to face will look over the remainder of the year and ensure student teaching on campus increases where possible. Obtain information on several face to face sessions being provided and across which programmes.
7	Academic Board 3rd Nov 2021	Student Identity card	Student ID cards for UK students were posted to their home addresses. Despite this, there were several home UK students who did not receive their student ID cards. Furthermore, students that did not get their ID cards were not aware of how to get them and complained about being moved from one campus to another.	The issue was raised and now the information is available on the KCL website informing students of what to do to collect their student cards.	Liaise with SED on how best to approach this for the coming year.
8	Academic Board 3rd Nov 2021	Face covering	There seems to be a discrepancy in how KCL central communication is pushing for a' strongly encouraging approach for	The issue was raised with SED as well as with Library services.	Ensure clear communication is provided to students, and ultimately aim to increase

		and consistency	face coverings message vs. how it is being implemented on a local level. For instance, certain academics saying this is mandatory or locations e.g. KCL Libraries saying that students are expected to wear face-covering and turning students away who do not wear the covering.		students to wear face-covering without penalising students.
9	Academic Board 3rd Nov 2021	Visa and Immigration Concerns	International students are experiencing issues as they try to arrive on campus by the 18th October deadline, due to high student numbers, the backlog of UKVI cases because of Covid, and regional issues (i.e. backlog in Malaysia) These delays mean that although students might want to come to the UK, they cannot because failure to arrive by the deadline infringes their Student Visa status.	The issue was brought to light by the Visa Advice team, and raised with SED.	Allow for individual mitigation if necessary by consulting with SED and individual faculties. Liaise with UKVI to expedite larger delays that affect multiple students. Ensure students from red-list countries can confirm Visas in time for arrival in January.

Section 2: Collective Projects

The projects listed in Table 2 have been identified as areas of priority and deemed to be of strategic importance for KCLSU. They have also been factored into the Relationship Agreement and work is being done via the Relationship Agreement Working Group (RAWG), to progress on these issues.

Outcomes and impacts for each of the projects as well as their importance levels are yet to be determined but will be done via RAWG.

Table 2: Collective Officer Projects

No	Projects	Officer Lead	Importance Level	Method/Rationale	Outcome and Impact	T 1	T 2	T 3	Status
1.	Academic Representation and Academic Societies	FP HL	TBC	There is a need to review how academic representation operates within both KCL and KCLSU in light of the SUMS review. There are a variety of different academic representation platforms that exist across KCL with various degrees of engagement. It is important to understand how best we could strengthen these voices in a way that increases the academic experience of students. Equally, it will be good to see how existing models of student engagement such as academic societies could be utilised to further enhance the academic experience.	TBC				

2.	Partnership and Co-Creation (Advice Services)	DU		There have been roles, areas, and functions that seem to create a challenge in impartiality for students i.e. Housing advice concerning KCL accommodation being provided by KCL housing advice. Equally, there seems to have been roles created that duplicate activity that KCLSU is doing, i.e. KCL staff roles that have clear requirements to support student activities. It will be good to address these issues and ensure that we have an understanding of how we would tackle impartiality as well as overcome areas of duplication of services.					
3.	Wellbeing and Mental Health	DU		Wellbeing and mental health are key issues of focus for KCL and KCLSU, and with covid, these issues have become more prevalent. There is a need to understand these issues and ensure a joined-up approach to properly address wellbeing and mental health issues.					
4.	PG Experience	RS		PG students form over 50% of KCL's student body, however, levels of engagement with PG students are limited. This is more acute for PGR students. It will be important to ensure that an approach is agreed upon and acted upon to increase PG student					

				engagement and ultimately deliver on providing them with a positive experience.				
5.	Freedom of Expression	ZS		Freedom of Expression is a topical issue and with the government looking to legislate FoE, it is important KCL and KCLSU understand the implications so that students are provided with guidance to comply with new legislation as well as allowing them to express their views. This is likely to impact a large number of societies that KCLSU facilitates and will require KCLSU to review its position on safe space policy.				
6.	Anti-Harassment	ZS		KCLSU and KCL have a zero-tolerance stance towards all forms of harassment. Two key areas need reviewing: (i) How KCL and KCLSU message their position and educate our community on harassment and its impact and (ii) How we encourage and support those that have been victims of harassment to come forward and present cases.				
7.	Careers	AZ		There is a need to understand how KCL careers, as well as the activities KCLSU provides, can best support our students to increase employability. Equally, with the increasing number of Russell Group				

| | | | | graduates, there is a need to distinguish a KCL graduate from the rest of the competition. | | | | | |

Section 3: Officer Projects

Table 3 indicates priorities identified by individual officers identified either in their manifestos they were elected upon or discovered the importance of upon starting their role.

Table 3: Officer Projects

No	Priority	Officer	Importance Level	Method/Rationale	Outcome and Impact	T1	T2	T3	Status
1.	Tackling harassment	ZS	High	Prior to my role as a Sabbatical Officer, I was the co-president of the Intersectional Feminist Society at KCLSU. We used to receive a plethora of complaints, for which we were unequipped to handle. Last year, within my capacity as Co-President of IFem Soc, we took action to share our challenges with the SU. This resulted in the development of an anti-harassment oversight group at King's (chaired by Joy Whyte) and an equivalent at KCLSU (chaired by Caroline Crawford). Although the measures at King's	To create a culture change champions scheme. The scheme will include a list of pledges for student leaders to tackle and challenge harassment within their spaces. Furthermore, the scheme will be accompanied by a number of events which showcase the impact of harassment.	A			G

				are reaching a satisfactory standard, the issues surrounding student culture are continuing to impact student safety and well-being.		A			G
2.	Improving mental health	ZS	High	My second objective is dedicated to creating an effective listener scheme at KCLSU, whereby we can train and support our students to be kinder to one another.	The outcome of this project will be working closely with KCLSU positive peers to foster a more positive and welcoming environment at King's. Furthermore like the first objective - it will be accompanied by a series of well-being events throughout the year.	A			G
3.	Bidet Showers/ Douches	DU	High	A huge chunk of KCL students come from cultures and nationalities where toilet paper is not the norm of usage in the toilets. This means that thousands of students at KCL are accustomed to the usage of water in toilets and switching to paper creates cultural, religious and personal comfort challenges for these students.

I am also focusing on the sustainability and net-zero | As such I have been working very closely with the estates team and obtained their informal green signal for installing water based arrangements in toilets across campuses.

I am currently working on collecting the numbers of students on each campus that will benefit from such changes, so we can think about the | R | | | G |

				carbon target related goals that paper-free toilets might help us in getting closer to.	number of such facilities that might be required.	R		G
4.	Individual Venue Booking System for Event Organising	DU	High	In summary, I am looking to give individuals the power to book venues, external speakers and organise events. This could be achieved by closely replicating the procedure that societies follow. The idea germinates from the realisation that many students find it difficult to organise events, and engage other students in conversations on subjects that are too niche or narrow for a society to cater to. Consequently, these conversations never take off as event organising and venue booking rights are reserved for ratified societies only.	Areas of the initially-proposed agenda were identified to fall outside of some pre-existing KCLSU processes. We are in the process of adapting and reviewing best practices for the individual booking system, identifying what changes need to be made before implementation.	R		G
5.	Improving Student Representation	FP	High	Before I was elected to become a Sabbatical Officer, I was an	The goal of this is for students to feel empowered in their	R		A

Academic Representative throughout the entirety of my degree. Representatives felt there was a lack of awareness of the support provided by KCLSU, as well as a lack of support from King's on how to collaborate with staff to improve the educational experience. On top of this, there was a lack of feedback from the university on what changes have been implemented based on the issues raised by the representatives, making it difficult to track progress. Now, I am looking to improve the support provided to Representatives where we could provide more regular training and increase contact with KCLSU. I am also looking to close the feedback loop between Academic Reps (with the students they represent) and the university. Finally, I want to create more spaces for students to be involved in

ability to connect with students in their cohort and feedback to the university.

So far, I have also sat on the interview panel for the Representation and Campaigns Manager role for KCLSU and was involved in the decision making on who should be appointed. This role will oversee current representation channels and campaigns at KCLSU.

I also liaised with Benjo Taylor (Head of Community Engagement at KCLSU) and Tony Logan (Deputy of Chief Executive) about having the Education Officers involved in the training and relationship building of Academic representatives.

				decision making alongside senior staff at KCL.		R			G
6.	Decolonising the Curriculum	FP	Medium	King's has a diverse population of students from different regions of the world, however, the curriculum limits students to understanding their disciplines through a Eurocentric, Western lens. There are a multitude of ways to approach this objective, and we can start by looking at	Decolonising the curriculum allows for the experiences of people from different racial backgrounds to be at the forefront of education.

Had a 121 meeting with 'Funmi Olonisakin (VP International) on the development of the | R | | | G |

						R			A	
				what is already being done at KCL. Some of the suggestions I have made (based on the background of my education at KCL and within my remit as VP Education (Health)) would be: - To give students an opportunity to understand decolonisation in the context of Medicine and Biomedical research - To provide more resources which incorporate images/diagnosis of different racial groups - To review and give advice on how KCL can support black/PoC researchers into academia/teaching at a university level	Decolonising Working Group Forum. 'Funmi has invited me to a meeting with her, Jen Angel (Director of International Strategy and Planning), Adam Fagan (Interim Vice President (Education)) to have a conversation on what decolonisation could look like at a college wide level.				
7.	Exam Support	HL	Low	Currently, exam support and feedback to students on performance is incredibly inconsistent. On one hand, some academics and examiners would provide access to past	Create a minimum standard of exam support which faculties and departments across the Arts & Sciences must follow. This will involve detailed marking	R			A	7.

				papers and feedback in extensive details, which has proven to be extremely useful in improving student performance and understanding of the content. On the other hand, some students have received very little to no support, thus limiting the opportunity for students to identify areas of improvement.	schemes, access to past papers and qualitative exam feedback.	R			A
8.	Go Fund Yourself Campaign	RS	High	The Covid pandemic has impacted the entire economy severely. However, in the UK, we see a system of education financing emerging, leaving students in a vulnerable position as they don't have a lifetime of savings to pay these large sums at a relatively young age. Additionally, tuition fees (particularly for international students and PGTs) are increasing dramatically year-on-year.

To combat these underlying trends, KCLSU will lobby the university to change the way in | Implement support structures that allow particularly self-funded students to receive support in light of the circumstances coming out of the pandemic, and generally improving their experience in paying tuition fees.

Start a national push for stopping increases in tuition fees that are not protected by the UK government.

Finances are a significant challenge for most of our students. Having such protective measures in place ensures | R | | | A |

			which students pay tuition fees (have three instalments), and campaign nationally to cap tuition fee growth. It has been agreed among the officer team that this campaign will become more inclusive to better reflect the needs of the student body. We are currently organising a student consultation exercise to accomplish this.	accessibility to HE and stops the marketisation of the education sector.	R			
9.	PG Engagement Opportunities	RS	Medium	Within Student Unions across the Higher Education Sector, there have been difficulties in getting PGTs and PGRs engaged with their representative body. In particular, SUs do not create services, such as events or societies, with the Postgraduate population in mind. Hence, I will be creating opportunities for Postgraduates to engage with their representative (VP Postgraduate) more widely through lecture and seminar	Improve King's PG's awareness of support available at King's. Increase Postgraduate's sense of belonging at King's, thus reducing the need for mental health support, and creating a more enjoyable student experience.	R			G

				pop-ins, as well as creating more bespoke events and spaces.		🟥		🟩
10.	Careers' Service	AZ/HL	High	The objective is to enhance the career opportunities available to students by providing them better networking opportunities and making them more competent. Here are some of the updates: -Have developed an initial outlay of the whole careers week. -For the first time, KCLSU will be doing something related to enhancing career opportunities for our students. -We have decided to partner with KCLSU societies to organise the whole careers week and spread it to a wider network. -During the careers week, students will be able to access drop in CV, Cover Letter, and application feedback sessions	This will help us improve the skills of our students in a highly competitive job market. By working closely with King's career services and KCLSU career related societies, we are bridging the gap between KCLSU and King's Career services. This will help improve the relation between KCLSU career related societies and KCLSU, as it will help us provide them better access to our resources. This will help us create a better network between our alumni and our current students. This will be the first of a kind careers fair which will be run by Student Union among universities in London universities (LSE, UCL, and Imperial).	A			G

				rather than waiting for a week to get feedback through the available facilities. - The evenings will be covered by the networking sessions (both in person and online) -At in person sessions, students will be allowed to develop informal conversations with our guests. -We are aiming to have networking sessions for Banking, Consulting, Law (Criminal and Corporate), HR, Entrepreneurship, Marketing, Biomed among other industries in our first edition of careers week. -At the end of careers week, there will be a competition hosted among the regular participants, and the top performers will get fast tracked to interview with our partner firms.				

| 11. | Providing culturally competent student experience | AZ | Medium | We are focused towards making the best use of our hugely diversified student body and equipping them with a USP of having a global and culturally competent mindset which will give them an edge in all of their future endeavours. This year, we have decided to host a mega event in order to provide students a platform to engage with students from different backgrounds.

- We have had a meeting with the staff leads and given them a brief on our plan for the cross cultural ball

- Currently, we are in the process of finding the most suitable venue.

- On 11th October, we had a meeting with around 40 committee members representing 20 societies at **Vault** to | - All the cultural student societies are getting a chance to be part of the Flagship event by KCLSU this year.

- Societies will get to represent their own cultures by showcasing their cultural performances

- This event is aimed to be as inclusive as possible, therefore we will be including our students in the promotional videos and marketing aspects of the event as well.

- Any student can volunteer to perform or be part of the process of planning the event.

- The tickets will be sold out at discounted prices to societies to encourage the students to buy the | R | | | G |

| | | | | engage them with the planning and organisation.

- We have had confirmation from 25+ cultural societies that they are willing to be part of Cross Cultural Ball

- It is planned to be hosted by the end of January

This is likely to be the inaugural event of an annual series starting from January next year as it aligns with the aim of KCLSU and King's to provide a culturally competent student experience. | memberships of the societies | | | | |