## Concordat Implementation Action Plan 2 year report King's College London

Research staff comprise a significant proportion of the academic community at King's College London and the College recognises that they are a key part of the College's mission to advance knowledge, learning and understanding in the service of society. For this reason, the College is committed to improving the policies and procedures in place to ensure their welfare and support.

## **Background**

In response to the launch of the Concordat for the Career Development of Researchers in June 2008, College Research Committee (CRC) commissioned the Researcher Development Unit (RDU) within the Graduate School to produce a 'mapping and gapping' report reviewing the implementation of the key principles of the Concordat across the College. CRC is the committee of the Academic Board responsible for advising the Board on quality assurance and regulatory issues, on the sharing of good practice and on the development of College policy affecting research. It is chaired by the Vice-Principal (Research & Innovation) and membership is drawn from Schools and key stake-holders (such as KCLSU, Library and the Graduate School). CRC now has two research staff representatives (one representing science researchers and one representing arts and society researchers) who were invited to join from the 2011-12 session in response to the Action Plan.

CRC was keen to build on the areas of good practice and make additional provision where gaps were identified. Therefore, on the basis of the mapping and gapping exercise, an Action Plan was produced in June 2011, outlining how King's intends to improve on the welfare and support of research staff working for the College. The College was awarded the European Commission's HR Excellence in Research Award in recognition of its Action Plan in January 2012. This report reviews the key achievements and progress made against the Action Plan in the two years since then.

## Key achievements and progress against the action plan

A key achievement is the creation of the Concordat Implementation Working Group (CIWG) in 2012 by the RDU to oversee and review progress on implementing the Action Plan and to ensure College compliance with the principles of the Concordat. The group has academic and research staff representation from across the College along with members from key professional services departments. This group first met in May 2012 and continues to meet 3 times per year. The group identified five priority areas from the Action Plan and have made progress against each:

#### 1. Mentoring for research staff

The Working Group undertook some work to identify what mentorship was, what was required, and could a mentorship programme be developed for Schools at Kings and reported its findings to the October 2012 meeting of CRC. Having discussed with colleagues across the College, a decision was taken to maintain and create separate mentoring schemes for each of the audiences being served and to create a Mentoring Network Group for colleagues coordinating mentoring schemes or with an interest in mentoring to meet and share practice. The group meets twice a year. Many Academic Schools and Departments have existing or new mentoring schemes which are open to research staff. King's in partnership with UCL, Imperial College London, the Institute of Education (IoE), and Queen Mary, University of London have been coordinating a pan-London B-MEntoring scheme for academic and research staff from Black and Minority Ethnic backgrounds. Many of the mentees on the pilot programme are research associates or fellows from King's. In addition to these schemes, the RDU is currently setting up an innovative new programme to run in the first half of 2014 to support researchers in identifying their own mentors from academia and beyond.

#### 2. PI training

The RDU in conjunction with HR, the Academic Schools and the CIWG have offered a new workshop to academics line managing research staff. This workshop develops knowledge and skills

relating to the management and development research staff identified in the original Action Plan. The first iteration ran in November 2013 and the feedback is currently under review.

A long-term leadership programme (the Early Career Faculty Development Series) has been trialed at one of the Academic Schools at King's to great acclaim and was shortlisted for a Times Higher Award in 2012. Planning is underway for further iterations.

#### 3. Researcher representation on relevant committees

Researcher representation on key decision making committees within King's was a priority of the CIWG to provide input and influence from researchers for the strategy, policies and procedures of the organisation. Central Committees which now include ECR representatives include CRC, CIWG, and College Postgraduate and Postdoctoral Training Board. All Schools are now required to have researcher representation on their Research Committee.

#### 4. Appraisal and training needs analysis

The College has revised its appraisal system, now named Performance Development Review (PDR). The new system incorporates established good practice in UK universities and guidance from RCUK on how best to support our academic and research staff. New web resources, guidance and training courses/material have been developed. The review process is an important part of getting Principal Investigators to recognise their responsibilities to research staff and is an important part of the professional development and career planning of members of staff at all levels.

### 5. Raising awareness of researcher development and the Concordat

The projects described above to implement the Concordat Action Plan have all been high profile and so have also served to raise awareness of the Concordat at all levels throughout the College; with research staff, their line managers and at senior and strategic levels.

The creation of CIWG has been instrumental in raising awareness of the Concordat. CRC has allocated two standing items on the Agenda of all CRC meetings, one on Researcher Development and another on Concordat Implementation, which ensures that these topics are discussed regularly at senior levels at the College and this has raised the awareness and willingness of Schools to support researchers and facilitate their development. The CIWG members report back to the Schools, professional services departments and researchers who they represent, which in turn has led to greater awareness amongst all of these audiences.

In addition to the priorities described above, the RDU has maintained and built on existing training and development provision for research staff, designing new courses to address issues outlined in the original Action Plan and making further provision where additional needs have been identified, such as the Springboard Women's Development Programme, now available to women researchers of all disciplines through the RDU. Feedback from participants has shown that this additional provision has been well received and the work of the RDU has been externally recognized by being shortlisted for the Times Higher Education Award for Outstanding Support for Early Career Researchers in 2013 for a project training research staff to deliver training courses.

On top of the progress outlined above, many of the policies, procedures and practices at King's are compliant with the Concordat and have been subject to review to ensure the standards are maintained. (The accompanying revised action plan provides further details of the progress made so far against the original action plan first published in Jan 2012.)

### Next steps and focus of the strategy for the next two years

The five priority areas outlined above remain priorities that the College will continue to work on for the next two years. The RDU's new mentoring programme has been designed and the next step will be to run the first iteration starting in March. We aim for all researchers to have access to a mentoring scheme. The new PI training workshop has run once and is currently under review. We aim for all PIs to have access to the information that they need to be effective in their roles as managers of researchers. There are now many more researcher representatives on committees

on all levels across the College, and the CIWG continue to work towards our aims of even wider representation or researchers and of ensuring that these researcher representatives are effectively supported in their roles. Now that the new PDR system is in place, CIWG will dedicate one of its 2014 meetings to discussing its aim of the widespread implementation of the PDR for researchers and their line managers. The CIWG has worked hard to increase Concordat awareness since 2012, and will continue this work into 2016. CROS and PIRLS also remain priorities as a means of reviewing progress against the Action Plan. We aim to nurture a culture of engagement were staff see that sharing their experiences and views results in improved practice, leading to high response rates in these surveys.

The CIWG have also identified researcher induction as a new priority for the next two years based on the responses received to CROS 2013. Induction will form one of the CIWGs topics to be considered during the next academic year alongside HR and OD to identify aspects of the induction particularly relevant to researchers. The next step for the CIWG will be to identify what researchers need from induction and to decide on suitable actions in light of these needs.

#### How the evaluation was undertaken

The evaluation was only possible as a result of some the achievements listed above, most notable the creation of the CIWG. The CIWG gathered information for the evaluation from:

- Amongst its own membership:
  - Academic Schools: CIWG has an academic representative from each School, who sits on their School's research committee and who provided information on local actions taken to implement the Concordat. Academic representatives also provided input from researchers in their Schools via the researcher representatives on the School research committees.
  - Professional services: CIWG has representatives from the RDU, HR, the Equalities Unit and Research and Graduate School Support who each provided information on College policy and practice within their own areas, including actions taken at College level.
  - Researcher representatives: CIWG has two research staff representatives (one representing science researchers and one representing arts and society researchers).
- CROS King's ran CROS 2013 and received 408 responses (the highest response rate received to date). We can compare the experiences of researchers at King's to those of researchers at the other institutions who ran CROS 2013.
- Links with other QA/ implementation/ monitoring mechanisms. The CIWG works closely with Research and Graduate School Support (who were responsible for the College's REF return) and with the Equalities Unit (who are responsible for the Athena SWAN Charter). Both of these are represented on the CIWG and researcher development has representation on their structures.

This information was received and reviewed by the CIWG and used to measure the progress and to identify new actions to update the Action Plan. The report and the revised Action Plan were received and supported by CRC.

Dr Anna Price (Secretary to the CIWG)
Prof Alison Metcalfe (Chair of the CIWG)
Dr Fiona Denney (Assistant Director, Graduate School and Head of RDU)
on behalf of the Concordat Implementation Working Group

January 2014

## Glossary of abbreviations

BME - Black and Minority Ethnic

CIWG - Concordat Implementation Working Group

CPD - Continuing Professional Development

CRC - College Research Committee

CROS – Careers in Research Online Survey

ELC - English Language Centre

ERP - Employment, Renumeration and Policy (team within HR)

FTC - Fixed Term Contract

FTE - Full Time Equivalent

HR - Human Resources

KCL - King's College London

KLI - King's Learning Institute

KT - Knowledge Transfer

MBTI - Myers-Briggs Type Indicator

N/A - not applicable

OD - Organisation Development (team within HR)

PDR - Performance Development Review (the College's appraisal system)

PI - Principal Investigator

R&O - Recruitment and Operations (team within HR)

RDU - Researcher Development Unit

SET - Science, Engineering, Technology and Maths

UKBA – United Kingdom Border Agency

VP - Vice Principal

## Key to Action Plan progress colour coding system

Black text signifies actions listed in the original Action Plan.

Blue text signifies actions taken. This includes progress against actions listed in the original action plan and new actions identified since the publication of the original action plan where those actions have been started and are completed and/ or ongoing actions where significant progress has been made.

Red text signifies future actions, which will be priority actions for the next two years. This includes actions from the original action plan and new actions identified since the publication of the original action plan.

## **Section A: Recruitment and Selection**

Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.

- 1. All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution
- 2. Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.
- 3. Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.
- 4. To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.
- 5. The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.

Current policy and practice at King's	Any action to be taken	By whom	Progress	Review
College Recruitment and Selection Procedures reflect the aspects set out in Principle 1. Researchers themselves found the recruitment and selection procedures to be fair	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	HR Academics and other staff involved in the recruitment process	Established	HR will review current policy once the annual cycle of the erecruitment system has concluded. Likely to start in December 2014.  RDU to seek researcher opinion on procedures biannually through CROS to ensure that good practice is maintained.
The new e-recruitment system will record the reasons for FTCs being used so that they are more transparent and can be monitored	HR to monitor reasons given for the use of FTCs  Information on the use of FTCs to be included in new PI training	HR RDU and HR	The new e-recruitment system is in place and the Staff Recruitment Authorisation Form has a field requiring the reason for the FTC  PI training has been run in November 2013	Next survey date 2015.  HR will review current policy once the annual cycle of the erecruitment system has concluded. Likely to start in December 2014.  RDU to review PI training

Recruitment panels are made up of the most appropriate people based on expertise and experience and the diversity within the department is likely to be reflected on panels.	The College has amended its guidelines to include a stipulation that appointment panels should demonstrate diverse representation, emphasizing the importance of drawing together a balanced and representative interview panel.	HR, academics and other staff involved in the recruitment process	Established	HR will review current policy before the end of 2015.
	An Equality Analysis of Recruitment is underway – we are collecting data on our short-listing and interview panel composition (via the new e-recruitment system)	HR – R&O HR – OD	Underway –data to be available by Dec 2014	December 2014 will be a milestone where we will have more accurate information to inform any review of policy/practice

Training on the College's Recruitment and Selection Procedures is already available through OD	In addition to the existing training on Recruitment and Selection Procedures, information on Recruitment and Selection Procedures will be included on PI training.	RDU and HR	Training on Recruitment and Selection Procedures is established PI training has been run in November 2013	College training is reviewed at the end of each academic year.  RDU to review PI training
The College Policy makes provision for feedback for unsuccessful candidates at application and post- selection stages. This is supported by the Schools	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	Academics and other staff involved in the recruitment process	Established	N/A
The College adopted the single pay spine as part of the National Framework Agreement. Researchers are paid on the single pay spine with the appropriate grade being determined by matching the role to the College role profiles.	Current policy and practice is already compliant with the Concordat and should be maintained.	HR	Established	N/A

## **Section B: Recognition and Value**

Principle 2: researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.

- 1. Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.
- 2. Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment)
  Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.
- 3. Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.
- 4. Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.
- 5. Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.
- 6. Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.

Current policy and	Any action to be taken	By whom	Progress	Review
practice at King's				
College Policy does not	Current policy and	HR and RDU	Established	RDU to seek researcher
differentiate between staff employed on FTCs	practice is already compliant with the			opinion biannually through CROS to ensure
and staff employed on	Concordat and should be			that good practice is
open-ended contracts,	maintained, subject to			maintained. Next survey
including in provision of	review.			date 2015.
training and				
development				
opportunities, which is				
acknowledged by				
researchers.				
The College actively	HR reviewed internal	HR	Complete	The management of
monitors compliance	guidance on the			FTCs and associated
with the Fixed Term	management of FTCs in			policies and procedures
Employees (Prevention	September 2010.			is under continual
of Less Favourable				review.
Treatment) Regulations	Information on the use	RDU	PI training has been run	
(2002) and provides	of FTCs to be included in		in November 2013	RDU to review PI
information biannually	new PI training			training
as a minimum on fixed				
term contract usage.				

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College Policy indicates	The College revised its	HR	Complete	HR will review current
that fixed term staff	Appraisal system, now			policy on an annual basis
should be appraised and	named Performance			at the conclusion of each
training is available for	Development Review			PDR cycle.
appraisers and	(PDR). The new system			
appraisees. However,	incorporates established			
Schools and researchers	good practice in UK			
acknowledge that	universities and			
practice varies among	guidance from RCUK on			
PIs.	how best to support our			
	academic and research			
	staff. Following launch			
	in August 2012, the			
	process was further			
	revised in May 2013			
	based on user feedback.			
	Information on appraisal	RDU	PI training has been run	RDU to review PI
	to be included in new PI		in November 2013	training
	training		m november 2018	u u u u u
	- craming			
	Now that the new PDR	CWIG	In progress – dates and	Additional actions and
	system is in place, CWIG	oid	agendas for 2014	review measures TBC
	will dedicate one of the		meetings being set	following meeting
			meetings being set	ionowing incernig
	2014 meetings to			
	discussing the widespread			
	implementation of the			
	PDR for researchers and			
	their line managers.			

The College supports the use of bridging monies in order that researchers retain continuity of employment between the expiry of one research grant and the beginning of a new research grant where possible.	Current policy and practice is already compliant with the Concordat and should be maintained.  Increase researcher awareness of bridging arrangements by including information in a new course to be developed on 'Things Every Post-Doc at King's Needs to Know'	Academic Schools  Researcher Development Adviser in conjunction with HR	New training course developed and run on several occasions	RDU to seek researcher opinion on practice through CROS biannually to ensure that good practice is maintained. Next survey date 2015.  RDU to review all research staff training courses at the end of each academic year. Next review in June 2014
Academic Schools described a range of local practices to try to ensure continued employment for researchers where possible	Current policy and practice is already compliant with the Concordat and should be maintained.  Support for sharing best practice across the College	Academic Schools RDU	Established  Established	N/A

The College pay	Current policy and	HR	Established	N/A
progression	practice is already			
arrangements for	compliant with the			
researchers on the single	Concordat and should be			
pay spine (adopted as	maintained.			
part of the National				
Framework Agreement)	Information on pay to be	RDU and HR	PI training has been run	RDU to review PI
are the same as those for	included in new PI		in November 2013	training
other staff groups on the	training			
single pay spine. Pay				
progression				
arrangements are given	Information on pay to be	RDU and HR	New training courses	RDU to review all
to all staff with their	included in new training		developed and run on	research staff training
contract of employment	courses for research		several occasions	courses at the end of
	staff			each academic year.
				Next review in June
				2014

In addition to progression within grades, arrangements also exist to facilitate the progression between certain grades as researchers become	Current policy and practice is already compliant with the Concordat and should be maintained.	HR	Established. The College's Grade Criteria/ Proceedures for Research Staff was reviewed and updated in September 2013	N/A
more experienced. Details of grade progression as researchers become more experienced are provided by line	Information on grade progression and promotion to be included in new PI training	RDU and HR	PI training has been run in November 2013	RDU to review PI training
managers.	Information on grade progression and promotion to be included in new training courses for research staff	RDU and HR	New training courses developed and run on several occasions	RDU to review all research staff training courses at the end of each academic year. Next review in June 2014
The RDU runs career management workshops and assists researchers in identifying skills using available career frameworks.	Current practice is already compliant with the Concordat and should be maintained through continuing to provide courses and workshops addressing different aspects of career management and planning	RDU in conjunction with Careers Service	Established	RDU and Careers Service to review careers training courses at the end of each academic year. Next review in June 2014

# **Section C: Support and Career Development**

Principle 3: researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.

- 1. It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.
- 2. A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.
- 3. Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.
- 4. All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.
- 5. Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.
- 6. Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.
- 7. Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may

- be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.
- 8. Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.
- 9. Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.

Current policy and	Any action to be taken	By whom	Progress	Review
practice at King's				
The College provides access to learning and development interventions outside specific research activities enabling staff to equip themselves with	College will continue to provide transferable skills training for researchers and will build upon current provision	RDU	Established and ongoing	RDU to review all research staff training courses at the end of each academic year. Next review in June 2014
appropriate transferable skills.	More information on access to training to be included in PI training	RDU	PI training has been run in November 2013	RDU to review PI training

A 0.5 FTE Careers Adviser is allocated to work exclusively with researchers, offering guidance at all campuses.	Continue to provide access to a dedicated Careers Adviser for researchers	RDU in conjunction with Careers Service	Established	RDU and Careers Service to review researcher careers provision at the end of each academic year. Next review in June 2014
A series of Career Management seminars forms part of the Researcher Development Programme and a number of additional careers seminars have been offered featuring PhD graduates who have moved into other areas of employment.	Continue to provide a range of courses and workshops addressing different aspects of career management and planning as well as alternative careers seminars.  The RDU has purchased a subscription to the RDF Planner to incorporate the Planner into one of the Career Development Programmes.	RDU in conjunction with Careers Service	Established	RDU and Careers Service to review researcher careers provision at the end of each academic year. Next review in June 2014
A Graduate School blog offers additional information on jobs, training sessions and career ideas.	Continue to blog about opportunities for researchers and promote blog more widely	RDU in conjunction with Careers Service	Established and ongoing	RDU and Careers Service to review researcher careers provision at the end of each academic year. Next review in June 2014

Academic Schools	Support for sharing best	RDU	Established	N/A
acknowledge that the	practice across the			
traditional expectation	College			
of researchers to				
progress in academia	Continue sharing data on	RDU	Established	N/A
with 'failed academics'	alternative careers for			
taking other jobs is	researchers across the			
outdated. Some	College, such as from			
Academic Schools are	Vitae's 'What Do			
working on initiatives to	researchers Do?' series			
open up alternative	http://research			
career paths to	staff.vitae.ac.uk/policy-			
researchers	practice/107611/What-			
	<u>do-researchers-dohtml</u>			

The College encourages all researchers to identify their training needs in conversation with their manager. The RDU within the Graduate School provides a	RDU will continue to provide transferable skills training for researchers and will build upon current provision	RDU	Established and ongoing	RDU to review all research staff training courses at the end of each academic year. Next review in June 2014
programme of over 250 workshops per year in a wide range of skills including research skills and transferable skills. The RDU also provides a 0.5 FTE careers adviser, 2 Royal Literary Fund writing fellows to assist with writing skills, MBTI-accredited trainers and coaches to support skills development alongside the workshops that are run.	Information on access to training to be included in new PI training	RDU	PI training has been run in November 2013	RDU to review PI training

Central induction is infrequent and so often not available to researchers when they	Review of induction procedures for research staff	OD to review central induction in conjunction with RDU	Complete	N/A
start. Some Schools run a local induction programme, in other Schools, induction is conducted at the research group/PI level.	Identify aspects of induction particularly relevant to researchers.	CIWG alongside HR and OD.	In progress – dates and agendas for CIWG 2014 meetings being set.	Additional actions and review measures TBC following discussion on what additional support may be useful for researchers new to King's
	Run newly developed course 'Starting Your First Post-Doc'	RDU and HR.	Course content incorporated into other courses for new ECRs	RDU to review all research staff training courses at the end of each academic year.
	Develop an additional course on 'Things Every Post-Doc at King's Needs to Know'	RDU and HR.	New training courses developed and run on several occasions	Next review in June 2014

Training is provided	PI training to	RDU in conjunction with	PI training has been run	RDU to review PI
centrally for a range of	recommend ways in	Academic Schools	in November 2013	training
skills at different levels	which researchers can			
to cater for different	put their skills in to			
needs at different career	practice to develop them			
stages. Some Schools	further for the benefit of			
described opportunities	the whole research team			
available to researchers				
to take on additional	Compilation of 'best	RDU to compile with	Ongoing through	
responsibilities and	practice' examples so	input from Schools	Concordat	RDU to seek researcher
develop skills at	that Schools can learn		Implementation	feedback biannually
different stages of their	from each other		Working Group	through CROS to ensure
careers, and other				that good practice is
Schools described				maintained. Next survey
difficulties (and a need)				date 2015.
in providing researchers				
with such opportunities.				

There is currently no central mentoring scheme for researchers, although some Schools and departments have such mechanisms in place.	Compilation of 'mentoring' best practice examples so that Schools can learn from each other.	RDU in collaboration with Schools	A mentoring network has been set up so that colleagues coordinating mentoring schemes or with an interest in mentoring can meet and share practice. The group meets twice a year.	N/A
	Mentoring workshops to be run on demand for Schools / departments to support schemes to be established locally	RDU in collaboration with Schools	Many schools and departments are running new or established mentoring schemes for their researchers independently.	Practice to be reviewed in June 2014
	The RDU is setting up a new mentoring programme for researchers of all disciplines to run in the first half of 2014.	RDU	In progress. First iteration to start in March 2014 and is currently being publicised.	Programme to be reviewed after completion of the first iteration in June 2014
	B-MEntoring programme for BME researchers in partnership with other London Universities.	HR – OD	After a successful pilot, the programme is now in its second year.	The pilot was reviewed in November 2013. The programme will continue to be reviewed regularly.

College policy states that	PI training to inform on	RDU and HR	PI training has been run	RDU to review PI
researchers are	College policy regarding		in November 2013	training
encouraged to engage	researcher CPD and to			
with approximately 10	recommend ways in			
days of transferable	which researchers can			
skills training per year.	put their skills in to			
Responsibility for	practice to develop them			
encouraging research	further for the benefit of			
staff to engage with CPD	the whole research team			
activities was cited by				
Schools as resting with	CPD programme to	RDU	Already implemented,	
the individual PIs, which	provide a framework for		due to be expanded to	RDU to review all
could lead to varied	researchers to collate		include the new Vitae	research staff training
practice.	and be provided with		Researcher	courses at the end of
	feedback on their CPD		Development	each academic year.
	activities		Framework in autumn 2011	Next review in June 2014
			(www.vitae.ac.uk/rdf)	
			The RDU has purchased	
			a subscription to the	
			RDF Planner and is	
			making this tool	
			available to all	
			participants on the CPD	
			programme.	

# **Section C: Support and Career Development**

Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career

- 10. Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.
- 11. Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.
- 12. Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.
- 13. Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.
- 14. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.

Current policy and	Any action to be taken	By whom	Progress	Review
practice at King's				
A new appraisal scheme	The College revised its	HR	Complete	HR will review current
was launched in 2007,	Appraisal system, now			policy on an annual basis
including Appraiser/	named Performance			at the conclusion of each
Appraisee training. A	Development Review			PDR cycle.
bespoke option was	(PDR). The new system			
developed specifically	incorporates established			
for fixed term staff.	good practice in UK			
Schools support the	universities and			
appraisal system and	guidance from RCUK on			
encourage its	how best to support our			
implementation, but	academic and research			
acknowledge that	staff. New web			
practice varies among	resources, guidance and			
PIs.	training			
	courses/material have			
	been developed. After			
	launch in August 2012,			
	the process was further			
	revised in May 2013			
	based on user feedback.			
		RDU and HR	PI training has been run	RDU to review PI
	Information on appraisal		in November 2013	training
	to be included in new PI			
	training			

The College revised its	The CIWG has identified	Concordat	In progress – dates and	Additional actions and
Appraisal system, now	appraisals (now termed	Implementation	agendas for 2014	review measures TBC
named Performance	Performance	Working Group	meetings being set	following meeting
Development Review	Development Reviews)			
(PDR). The new system	as a matter of priority			
incorporates established	and will dedicate one of			
good practice in UK	the 2014 meetings of the			
universities and	group to discussing what			
guidance from RCUK on	additional support may			
how best to support our	be useful for researchers			
academic and research	and their line managers.			
staff. New web				
resources, guidance and				
training				
courses/material have				
been developed. After				
launch in August 2012,				
the process was further				
revised in May 2013				
based on user feedback.				

KLI offers a Postgraduate Certificate in Academic Practice (PGCAP) which is accredited by the Higher Education Academy. Recognition is given to previous learning which maps to the learning outcomes of our academic programmes	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	KLI	Established	College training is reviewed at the end of each academic year.
The RDU provides a 'train the trainers' programme for researchers to provide them with teaching skills and experience, which can be used towards gaining their PGCAP. This programme was shortlisted for the THE Award for Support for Early Career Researchers in 2013.	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	RDU	Established	RDU to review all research staff training provison at the end of each academic year. Next review in June 2014

Schools encourage CPD activities to prepare researchers for academic practice, such as research methods	PI training to encourage PIs to seek conference funding for researchers through research grants	RDU and HR	PI training has been run in November 2013	RDU to review PI training
training, conference attendance/ presentation (with some departments providing funding for conferences by various mechanisms) or teaching (including undertaking qualifications where appropriate).	Training courses on skills required for academic practice (e.g. networking, oral presentations, poster presentations, etc) already provided	RDU	Established	RDU to review all research staff training courses at the end of each academic year. Next review in June 2014
KLI offers a range of training and support at different levels for researchers involved in teaching and demonstrating.	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	KLI	Established	College training is reviewed at the end of each academic year.

Some Academic Schools and Departments have researcher representation on at various committees and meetings	CRC to recommend which School committees and meetings researchers should be represented at	CRC	Competed	
moomigo	Research staff representative for CRC to be appointed	CRC chair to invite representatives to attend CRC	Two researcher representatives have been appointed	
	Researcher representatives have been appointed to other central College committees e.g. Concordat Implementaiton Working Group, College Postgraduate and Postdoctoral Training Board.	Chairs and members of committees that would benefit from researcher representation.	Completed	The purpose and membership of all College committees are reviewed regularly.
	Researcher representatives have been appointed to many School and departmental committees.	Academic Schools	In progress	Progress to be reviewed in June 2014. Additional actions and review measures TBC following review.

# Section D: researchers' Responsibilities

Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.

- 1. Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.
- 2. Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.
- 3. Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.
- 4. Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.
- 5. Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.
- 6. Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.

Current policy and	Any action to be taken	By whom	Progress	Review
practice at King's				
College level Knowledge	College to continue to	RDU and King's	Established	RDU to review all
Transfer (KT) training is	provide training and	Partnerships and		research staff training
offered via the Graduate	opportunities for	Consultancy		courses at the end of
School using in-house	researchers.			each academic year.
KT experts from King's				Next review in June
Partnerships and				2014
Consultancy and is also	Researchers to engage	Research staff	Established	
made available to	with opportunities	Schools to support and		RDU to establish
Schools and	available to them	encourage.		researcher engagement
Departments as				biannually through
required. Each School				CROS. Next survey date
and Division has an				2015.
assigned business				
development manager				
who works to the School				
and Division's plans for				
innovation.				

The College has developed guidelines on good practice in academic research and has a well-developed procedure for dealing with issues of research misconduct. Many King's researchers state that they have an understanding of research codes of practice (integrity, academic conduct,	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	Research Ethics Office Research staff Academic Schools	Established	RDU to seek researcher understanding on ethics and integrity in research biannually through CROS to ensure that good practice is maintained. Next survey date 2015.
ethics).  A variety of training courses on ethics and integrity in research are provided through the RDU and the Research Ethics Office	RDU to work with Research Ethics Office to improve research integrity training on offer to researchers.	RDU and Research Ethics Office	Completed. New courses on ethics and integrity available to researchers. Ethics and Integrity included in all training courses where appropriate.	RDU to review all researcher training courses at the end of each academic year. Next review in June 2014  RDU to seek researcher understanding on ethics and integrity in research biannually through CROS to ensure that good practice is maintained. Next survey date 2015.

Researchers understand	Run newly developed	Researcher	Established	RDU to review all
that PI is a different job	course 'How to Become a	Development Adviser in		research staff training
from that of post-	PI'	conjunction with KLI.		courses at the end of
doctoral research staff.				each academic year.
				Next review in June
				2014
	Researchers to be more	Research staff	In progress	
	pro-active in seeking	RDU and careers adviser	To be addressed through	Programme to be
	help from PIs, RDU,	to promote services to	new mentorship	reviewed after
	careers adviser and	researchers	programme	completion of the first
	peers			iteration in June 2014
				RDU to seek researcher
				feedback biannually
				through CROS to ensure
				that good practice is
				maintained. Next survey
				date 2015.

Researchers acknowledge their responsibility for managing and pursuing their career, and that they benefit from the varied provision	Current practice is already compliant with the Concordat and should be maintained, subject to review.	Research staff	Established	RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained. Next survey date 2015.
available through the College and Academic Schools	Continue to provide and publicise College provision for research staff	RDU and other training providers	Established	Ongoing monitoring of attendance and participant feedback
	Develop support for PIs (through PI training programme) to have conversations with their research staff regarding their training needs	RDU and HR	PI training has been run in November 2013	RDU to review PI training
Researchers value the opportunity to discuss their career development requirements and activities with their PI	Researchers to pro- actively speak to their PI about formal appraisal as well as informal discussions on an ad-hoc basis in addition to College actions outlined in Section C.	Research staff	In progress	RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained. Next survey date 2015.

# **Section E. Diversity and Equality**

Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

- 1. The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.
- 2. As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.
- 3. It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.
- 4. Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the "early career" period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.
- 5. It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.
- 6. Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.
- 7. Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.

- 8. Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.
- 9. All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.
- 10. Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.

Current policy and practice at King's	Any action to be taken	By whom	Progress	Review
The College recognises that equality of opportunity and the recognition and promotion of diversity are integral to its academic and economic strengths.	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	HR Academics and other staff involved in the recruitment process	Established	HR regularly review policies and associated use of equality impact assessments.  RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained. Next survey date 2015.

		T		<del></del>
The College's equality	Current policy and	Lead by HR - OD with	Complete	Annual review and
and diversity policies	practice is already	support from colleagues		ongoing work
were reviewed and	compliant with the	across the University		
extended in 2010 and	Concordat and should be			HR to continue
2011. These include	maintained, subject to	Diversity and Inclusion		monitoring of all
policies and statements	review.	Steering Group		recruitment and
covering the protected				promotion decisions on
characteristics and a	The College is compliant			the basis of statutory
suite of family friendly	with the Equality Act			duties in relation to
policies. The vast	2010 and is annually			equality and fair
majority of researchers	reviewing the impact of			treatment
believe that King's is	its policies and			
committed to equality	procedures on its staff			RDU to seek researcher
and diversity and that	and students and has set			feedback biannually
staff are treated without	itself Equality Objectives			through CROS to ensure
discrimination with	which are also reviewed			that good practice is
regard to all aspects of	annually. A Diversity			maintained. Next survey
professional life.	and Inclusion Steering			date 2015.
	Group, Chaired by a VP			
	takes a leadership role			
	for this work.			
	The College's Trans			2014
	policy and procedure			
	requires review.			

Recruitment of	Current policy and	HR	Established	N/A
researchers is on the	practice is already	Academics and other		,
basis of national	compliant with the	staff involved in the		
advertising in	Concordat and should be	recruitment process		
accordance with the	maintained, subject to			
UKBA's Resident Labour	review.			
Market Testing				
	An Equality Analysis of	HR – R&O	Underway –data to be	December 2014 will be a
	Recruitment is	HR - OD	available by Dec 2014	milestone where we will
	underway – we are now			have more accurate
	starting to collect data			information to inform
	on our recruitment			any review of
	process (via the new e-			policy/practice
	recruitment system) and			
	short-listing and			
	interview panel			
	composition			

The RDU run	Continue offering	RDU	Established	RDU to review
programmes for women	programmes			programme at the end of
researchers	incorporating Action		Availabilty of Action	each academic year.
incorporating Action	Learning for women		Learning has been	Next review in June
Learning. Action	researchers.		extended to all	2014
Learning is introduced			researchers at King's	
as a way of supporting				
and developing women			The RDU has also started	
in their research careers			offering the Springboard	
and provides			Women's Development	
participants with the			Programme to women	
chance to explore the			researchers throughout	
issues they face as			the College, which has	
women researchers with			been popular and well	
a view to finding a way			received by participants.	
forward for them as				
individuals.				
The College's new Race	This was replaced by the	HR – OD	Established	Annual review and
Equality Policy and	Annual report and			ongoing work
Action Plan was	objectives mentioned			
published in April 2010	above.			RDU to seek researcher
A BME Staff Network				feedback biannually
was set up in 2010.	See below for more			through CROS to ensure
	information about Staff			that good practice is
	Networks.			maintained. Next survey
				date 2015.

The College operates a	The College's Athena	HR – ERP	Established	HR reviewed policies in
number of policies to	SWAN Bronze Action	HR – OD	Establisheu	March 2013 to align with
provide the flexibility	Plan includes actions to	IIK - OD	Drogoss is boing made	legal requirements.
			Progess is being made	legal requirements.
necessary for successful	improve support for		against the Athena	TIL ALL CYAYANI
research performance in	staff with		SWAN Bronze Action	The Athena SWAN
line with legal	families/caring		Plan and is reported on	Bronze Action Plan is
requirements.	responsibilities.		thorough the	under regular review.
	Examples include:		appropriate channels.	
	-Parenting Leave Fund			The Government has
	-Parent buddy scheme			outlined plans to extend
	-Checklist for managing			the right to request
	career breaks for			flexible working to all
	managers (including			employees with 26
	information for			weeks' continuous
	academic and research			service (not just parents
	staff)			and carers) and to
	-Guidance for those on			remove the current
	FTCs and external			statutory procedure. HR
	funding re: maternity			will review when the
	-Covering issues around			legislation comes into
	FTCs and flexible			force (anticipated
	working in training for			summer 2014)
	staff and managers			3
	-A learning intervention			RDU to seek researcher
	for managers around			opinion on procedure
	flexible working			biannually through CROS
	Promoting case studies			to ensure that good
	and good practice			practice is maintained.
	around flexible working			Next survey date 2015.
	around hexible working			Next Survey date 2015.

The College has a Women's Network, BME staff network and LGBT staff network. These operate largely in a virtual form but members are invited to attend infrequent events/meetings in addition to regular email correspondence and	N/A	HR - OD	On-going	N/A
consultation				
The College describes general "equality-proofing" of policies and procedures takes place to enable flexibility and accommodation. Equality impact assessments are undertaken, wherever possible, on all new policies and procedures and where necessary adjustments made to existing polices.	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.  A new Equality Analysis process has been established but mainstreaming and embedding are required	HR – OD Diversity and Inclusion Steering Group	The College has a new Equality Analysis Framework which is systematically used by HR to assess the impacts of new policies and those being revised. Equality Analysis are currently being undertaken of the College's recruitment and promotions policies	N/A

The College uses	Current policy and	HR and Occupational	Established	
Occupational Health	practice is already	Health		
input and support where	compliant with the			
health and/or disability	Concordat and should be			
issues arise, actively	maintained, subject to			
seeking to implement	review.			
Reasonable Adjustments				
where identified.	The College is currently	HR – OD	In progress	Completed by April 2014
	engaged in a project to			
	improve the information			
	and support available to			
	disabled staff.			
The College provides	Current policy and	ELC	Established	College training is
support for researchers	practice is already			reviewed at the end of
for whom English is not	compliant with the			each academic year.
their first language	Concordat and should be			
through service	maintained, subject to			
provided by the ELC.	review.			

The College operates a	Current policy and	HR – ERP	Dignity at Work Policy is	Review to be completed
Dignity at Work policy	practice is already		currently unavailable as	2014
that is easily accessible	compliant with the		it is under revision	
through the College web	Concordat and should be			
site. Furthermore, all	maintained, subject to		The Grievance	A working group has
staff can avail	review.		procedures were	been established to draft
themselves of the			updated in 2013	a Grievance Procedure
grievance procedure.				for non-academic staff.
				This will incorporate
				elements of the previous
				Dignity at Work policy.
				The working group's
				first meeting is January
				2014.

The College became a	The College renewed it's	HR – OD	Bronze Award valid until	Based on internal
signatory of the Athena	Bronze Athena SWAN		September 2016.	submissions strategies
SWAN Charter in	Award in April 2013 and			and in line with external
December 2007. In June	all the STEMM-based			deadlines.
2008 it was granted a	Schools are working			
Bronze award, with very	towards Silver status			
favourable feedback	with support from a new			
from the Athena Panel.	dedicated Athena SWAN			
Good progress has been	Project Manager.			
made in bringing				
together relevant data	One Department is			
and increasing the	currently engaged in the			
College's understanding	Gender Charter Mark			
of the issues experienced	Trial Pilot and we are			
by women working in	participating in the			
SET disciplines.	development of the Race			
Knowledge of Athena	Charter Mark with ECU			
SWAN is not widespread				
amongst researchers,				
however, there was				
great interest in the				
topic and researchers				
would like more				
information on this and				
similar schemes.				

The Athena SWAN	Actions include:	HR - OD with support	Varies from project to	Progress is reported bi-
College Bronze action	-Review guidance on use	from other HR functions	project	monthly to the Athena
plan includes a range of	of FTCs & monitor usage	and relevant		SWAN Steering Group
actions which will	-Establish workload	directorates		with quarterly reports to
benefit research staff,	allocation models			PCT
reduce the barriers	-Deliver annual events to			
associated with research	improve understanding			
careers and aim to	of the promotions			
improve the	process			
representation of staff	-Support for staff in			
with protected	publishing their			
characteristics at all	research			
levels of academia	-Establish College-wide			
	Exit interviews			
	-Reviewing balance of			
	membership on			
	governance committees			
	-Unconscious bias			
	training			