

Concordat Implementation Action Plan

Overview and background

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.

In response to the launch of the Concordat for the Career Development of Researchers in June 2008, College Research Committee (CRC) commissioned the Graduate School to review the implementation of the key principles of the Concordat across the College – a mapping and gapping exercise. The 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). There is not currently a research staff member of this group, but one is being appointed for the 2011-12 session in response to one of the action points in this Action Plan.

The Graduate School report on the mapping and gapping exercise was presented to the CRC in October 2010 and mapped current policies, regulations, actions and practices in place at King's relating to research staff welfare and support onto the principles of the Concordat, highlighting areas of good practice where King's is compliant with the Concordat and identifying gaps where extra work needs to be undertaken. The mapping and gapping exercise collected information on current policy and practice at King's from a wide variety of sources, in order to get a holistic view of how the Concordat is implemented at King's. Information was gathered from:

- central professional service departments (College level policies and procedures) by writing to the Heads of those departments.
- senior academics from each Academic School (additional local level policies and procedures and comments on how College level and local level policies are put into practice) by writing to the Head of School, Director of Research, Director of Administration and Head of Graduate Studies for each Academic School.
- research staff (knowledge of policy and experience of practice) by three methods:
 - Three 2 hour focus group meetings, attended by a total of 22 research staff with experience of working in a variety of Schools.
 - CROS 2009 was answered by 109 King's researchers across all Academic Schools. These responses also allowed us to compare the experiences of researchers at King's to those of researchers at the 15 other Russell Group Universities that ran CROS 2009.
 - A Graduate School evaluation project survey, evaluating our provision for research staff, with 107 respondents.

CRC was keen to build on the areas of good practice and to make additional provision where gaps were identified. On the basis of the mapping and gapping exercise report, therefore, this action plan has been produced, outlining how the College intends to improve upon the welfare and support of research staff working for the College. CRC have also allocated a standing item on the Agenda of all CRC meetings on Researcher Development.

A Concordat Implementation Working Group is being set up by the Graduate School to oversee and to review progress on the implementation of the Action Plan and to ensure College compliance with the key principles of the Concordat. The group will comprise academic and research staff representation from across the College along with members from key professional services departments. This group will meet 2-3 times per year and will report annually to CRC on progress against the Action Plan, who may recommend further developments or actions to be included as appropriate. Wider engagement with the research community will also inform the annual review process. The first review will take place in June 2012.

Summary of action points

Many of the policies, procedures and practices at King's are **already compliant with the Concordat** and should be maintained, subject to review. Further details of these policies, procedures and practices are given in relation to the appropriate section of the Concordat, below. Details are also given where additional steps will be taken to increase the effectiveness or awareness of existing policy and procedure.

Sharing '**best practice**' is recommended to support uniform practices across the Schools regarding:

- Training and Development
- Mentoring
- Research staff representation on School and College boards and committees

PI training

King's already requires that all academics responsible for supervising PhD students undergo regular training to ensure that they are familiar with current developments in policy, procedure and best practice with regard to research degree supervision. A similar workshop will now be offered to academics line managing research staff (Principal Investigators). The Researcher Development Unit in conjunction with Human Resources and the Academic Schools will develop a programme of training to include information on:

- Recruitment and Selection Procedures
- Policies pertaining to the use of FTCs
- Pay, grading and promotion
- Appraisal
- Support for researchers including information on personal, professional and career development
- Training policies and opportunities
- Advice on seeking funding for research staff conference attendance
- Authorship and intellectual property
- Impact and engagement
- Management of research staff

Research staff training

In addition to maintaining and building on existing training and development provision for research staff, a range of additional courses will be designed, addressing specific issues, including:

- Increasing researcher awareness of bridging-funding arrangements
- Information on pay and grade progression arrangements

Research staff responsibilities

As well as the responsibilities of the College and its constituent parts to ensure the appropriate policies, procedures and opportunities for the benefit of research staff, the document below also details the responsibilities of the research staff themselves to engage with this provision and to be proactive in seeking help with their professional and career development when needed.

Athena SWAN

The College is planning to apply to renew its existing Bronze award and is supporting individual departments who are considering applying for Silver awards.

Dr Anna Price

Dr Fiona Denney

June 2011

Glossary of abbreviations

BME – Black and Minority Ethnic

CPD – Continuing Professional Development

CRC – College Research Committee

CROS – Careers in Research Online Survey

ELC – English Language Centre

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

OSD – Organisational and Staff Development

PI – Principal Investigator

RDU – Researcher Development Unit

SET – Science, Engineering, Technology and Maths

UKBA – United Kingdom Border Agency

VP – Vice Principal

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 in November 2012 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 will be rolled out in September 2011 PI training in development, anticipated to be ready to pilot by January 2012	HR will review E-recruitment system in November 2012 RDU to review PI training in June 2012
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.	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 in November 2012

Training on the College's Recruitment and Selection Procedures is already available through OSD	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 in development, anticipated to be ready to pilot by January 2012	OSD to review training in June 2012 RDU to review PI training in June 2012
The College Policy makes provision for feedback for unsuccessful candidates at application and post-selection stages. This was supported by the Schools	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 in November 2012
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 grade descriptors.	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 practice at King's	Any action to be taken	By whom	Progress	Review
College Policy does not differentiate between staff employed on FTCs and staff employed on open-ended contracts, including in provision of training and development opportunities, which is acknowledged by researchers.	Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.	HR and RDU	Established	RDU to seek researcher opinion on provision of, and access to training biannually through CROS to ensure that good practice is maintained.
The College actively monitors compliance with the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and provides information biannually as a minimum on fixed term contract usage.	<p>HR reviewed internal guidance on the management of FTCs in consultation with UCU and published a report on this in September 2010.</p> <p>Information on the use of FTCs to be included in new PI training</p>	<p>HR</p> <p>RDU</p>	<p>Complete</p> <p>PI training in development, anticipated to be ready to pilot by January 2012</p>	RDU to review PI training in June 2012

<p>College Policy indicates that fixed term staff should be appraised and training is available for appraisers and appraisees. However, Schools and researchers acknowledge that practice varies among PIs.</p>	<p>The College is currently reviewing its appraisal system.</p> <p>Information on appraisal to be included in new PI training</p> <p>Increased pressure from senior academic staff to ensure that appraisals take place</p>	<p>HR</p> <p>RDU</p> <p>Academic Schools</p>	<p>In progress</p> <p>PI training in development, anticipated to be ready to pilot by January 2012</p> <p>In progress</p>	<p>N/A</p> <p>RDU to review PI training in June 2012</p>
<p>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.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained.</p> <p>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'</p>	<p>Academic Schools</p> <p>Researcher Development Adviser in conjunction with HR</p>	<p>Established</p> <p>New training courses for research staff in development, anticipated to be ready to pilot by 2011-2012 academic year</p>	<p>Practice to be reviewed through CROS biannually.</p> <p>RDU to review all research staff training courses in June 2012</p>

<p>Academic Schools described a range of local practices to try to ensure continued employment for researchers where possible</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained.</p> <p>Support for sharing best practice across the College</p>	<p>Academic Schools</p> <p>RDU</p>	<p>Established</p> <p>Established</p>	<p>N/A</p> <p>N/A</p>
<p>The College pay progression arrangements for researchers on the single pay spine (adopted as part of the National Framework Agreement) are the same as those for other staff groups on the single pay spine. Pay progression arrangements are given to all staff with their contract of employment</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained.</p> <p>Information on pay to be included in new PI training</p> <p>Information on pay to be included in new training courses for research staff</p>	<p>HR</p> <p>RDU and HR</p> <p>RDU and HR</p>	<p>Established</p> <p>PI training in development, anticipated to be ready to pilot by January 2012</p> <p>New training courses for research staff in development, anticipated to be ready to pilot by 2011-2012 academic year</p>	<p>N/A</p> <p>RDU to review PI training in June 2012</p> <p>RDU to review new research staff training courses in June 2012</p>

<p>In addition to progression within grades, arrangements also exist to facilitate the progression between certain grades as researchers become more experienced. Details of grade progression as researchers become more experienced are provided by line managers.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained.</p> <p>Information on grade progression and promotion to be included in new PI training</p> <p>Information on grade progression and promotion to be included in new training courses for research staff</p>	<p>HR</p> <p>RDU and HR</p> <p>RDU and HR</p>	<p>Established</p> <p>PI training in development, anticipated to be ready to pilot by January 2012</p> <p>New training courses for research staff in development, anticipated to be ready to pilot by 2011-2012 academic year</p>	<p>N/A</p> <p>RDU to review PI training in June 2012</p> <p>RDU to review new research staff training courses in June 2012</p>
<p>The RDU runs career management workshops and assists researchers in identifying skills using available career frameworks.</p>	<p>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</p>	<p>RDU in conjunction with Careers Service</p>	<p>Established</p>	<p>RDU and Careers Service to review careers training courses in June 2012</p>

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 practice at King's	Any action to be taken	By whom	Progress	Review
The College provides access to learning and development interventions outside specific research activities enabling staff to equip themselves with appropriate transferable skills.	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 in June 2012
	More information on access to training to be included in PI training	RDU	PI training in development, anticipated to be ready to pilot by January 2012	RDU to review PI training in June 2012
A 0.5 FTE Careers Adviser is allocated to work exclusively 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 in June 2012

<p>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.</p>	<p>Continue to provide a range of courses and workshops addressing different aspects of career management and planning as well as alternative careers seminars</p>	<p>RDU in conjunction with Careers Service</p>	<p>Established</p>	<p>RDU and Careers Service to review researcher careers provision in June 2012</p>
<p>A Graduate School blog offers additional information on jobs, training sessions and career ideas.</p>	<p>Continue to blog about opportunities for researchers and promote blog more widely</p>	<p>RDU in conjunction with Careers Service</p>	<p>Established and ongoing</p>	<p>RDU and Careers Service to review researcher careers provision in June 2012</p>
<p>Academic Schools acknowledge that the traditional expectation of researchers to progress in academia with 'failed academics' taking other jobs is outdated. Some Academic Schools are working on initiatives to open up alternative career paths to researchers</p>	<p>Support for sharing best practice across the College</p> <p>Continue sharing data on alternative careers for researchers across the College, such as from Vitae's 'What Do researchers Do?' series http://research.staff.vitae.ac.uk/policy-practice/107611/What-do-researchers-do-.html</p>	<p>RDU</p> <p>RDU</p>	<p>Established</p> <p>Established</p>	<p>N/A</p> <p>N/A</p>

<p>Central induction is infrequent and so often not available to researchers when they start. Some Schools run a local induction programme, in other Schools, induction is conducted at the research group/PI level.</p>	<p>Review of induction procedures for research staff</p>	<p>OSD to review central induction in conjunction with RDU</p>	<p>Complete</p>	<p>Review practice in June 2012</p>
		<p>Schools to review local induction procedures</p>	<p>In progress</p>	<p>Review practice in June 2012</p>
	<p>Run newly developed course 'Starting Your First Post-Doc'</p>	<p>RDU and HR.</p>	<p>Established</p>	<p>RDU to review all research staff training courses in June 2012</p>
	<p>Develop an additional course on 'Things Every Post-Doc at King's Needs to Know'</p>	<p>RDU and HR.</p>	<p>New training courses for research staff in development, anticipated to be ready to pilot by 2011-2012 academic year</p>	<p>RDU to review all research staff training courses in June 2012</p>

<p>Training is provided centrally for a range of skills at different levels to cater for different needs at different career stages. Some Schools described opportunities available to researchers to take on additional responsibilities and develop skills at different stages of their careers, and other Schools described difficulties (and a need) in providing researchers with such opportunities.</p>	<p>PI training to recommend ways in which researchers can put their skills in to practice to develop them further for the benefit of the whole research team</p> <p>Compilation of 'best practice' examples so that Schools can learn from each other</p>	<p>RDU in conjunction with Academic Schools</p> <p>RDU to compile with input from Schools</p>	<p>PI training in development, anticipated to be ready to pilot by January 2012</p> <p>Start in summer 2011</p>	<p>RDU to review PI training in June 2012</p> <p>To be completed by autumn 2011</p> <p>RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained.</p>
<p>There is currently no central mentoring scheme for researchers, although some Schools and departments have such mechanisms in place.</p>	<p>Compilation of 'mentoring' best practice examples so that Schools can learn from each other.</p> <p>Mentoring workshops to be run on demand for Schools / departments to support schemes to be established locally</p>	<p>RDU in collaboration with Schools</p> <p>RDU in collaboration with Schools</p>	<p>2011-2012 academic year</p> <p>On demand.</p>	<p>Practice to be reviewed in June 2012</p> <p>Practice to be reviewed in June 2012</p>

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 practice at King's	Any action to be taken	By whom	Progress	Review
<p>A new appraisal scheme was launched in 2007, including Appraiser/ Appraisee training. A bespoke option was developed specifically for fixed term staff. Schools support the appraisal system and encourage its implementation, but acknowledge that practice varies among PIs.</p>	<p>The College is currently reviewing its appraisal system.</p> <p>Information on appraisal to be included in new PI training</p> <p>Increased support from senior academic staff to ensure that appraisals take place</p>	<p>HR</p> <p>RDU and HR</p> <p>Academic Schools</p>	<p>In progress</p> <p>PI training in development, anticipated to be ready to pilot by January 2012</p> <p>In progress</p>	<p>N/A</p> <p>RDU to review PI training in June 2012</p>
<p>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</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>KLI</p>	<p>Established</p>	<p>KLI currently reviewing and redesigning PGCAP. Practice to be reviewed in June 2012.</p>

Schools encourage CPD activities to prepare researchers for academic practice, such as research methods training, conference attendance/presentation (with some departments providing funding for conferences by various mechanisms) or teaching (including undertaking qualifications where appropriate).	<p>PI training to encourage PIs to seek conference funding for researchers through research grants</p> <p>Training courses on skills required for academic practice (e.g. networking, oral presentations, poster presentations, etc) already provided</p>	<p>RDU and HR</p> <p>RDU</p>	<p>PI training in development, anticipated to be ready to pilot by January 2012</p> <p>Established</p>	<p>RDU to review PI training in June 2012</p> <p>RDU to review all research staff training courses in June 2012</p>
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	KLI currently reviewing and redesigning PGCAP and GCAP qualifications. Practice to be reviewed in June 2012.
Some Academic Schools and Departments have researcher representation on at various committees and meetings	<p>CRC to recommend which School committees and meetings researchers should be represented at</p> <p>Research staff representative for CRC to be appointed</p>	<p>CRC</p> <p>CRC chair to invite representatives to attend CRC</p>	<p>2011-12 academic year</p> <p>2011-12 academic year</p>	Practice to be reviewed in June 2012

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 practice at King's	Any action to be taken	By whom	Progress	Review
<p>College level Knowledge Transfer (KT) training is offered via the Graduate School using in-house KT experts from KCL Business, and is also made available to Schools and Departments as required. Each School and Division has an assigned business development manager who works to the School and Division's plans for innovation.</p>	<p>College to continue to provide training and opportunities for researchers.</p> <p>Researchers to engage with opportunities available to them</p>	<p>RDU and King's Business</p> <p>Research staff Schools to support and encourage.</p>	<p>Established</p> <p>Established</p>	<p>RDU to review all research staff training courses in June 2012</p> <p>RDU to establish researcher engagement biannually through CROS.</p>
<p>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, ethics).</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>Research Ethics Office Research staff Academic Schools</p>	<p>Established</p>	<p>RDU to seek researcher understanding on ethics and integrity in research biannually through CROS to ensure that good practice is maintained.</p>

<p>A variety of training courses on ethics and integrity in research are provided through the RDU and the Research Ethics Office</p>	<p>RDU to work with Research Ethics Office to improve research integrity training on offer to researchers.</p>	<p>RDU and Research Ethics Office</p>	<p>To be developed to start in autumn 2011.</p>	<p>RDU to review all researcher training courses in June 2012</p> <p>RDU to seek researcher understanding on ethics and integrity in research biannually through CROS to ensure that good practice is maintained.</p>
<p>Researchers understand that PI is a different job from that of post-doctoral research staff.</p>	<p>Run newly developed course 'How to Become a PI'</p> <p>Researchers to be more pro-active in seeking help from PIs, RDU, careers adviser and peers</p>	<p>Researcher Development Adviser in conjunction with KLI.</p> <p>Research staff RDU and careers adviser to promote services to researchers</p>	<p>Established</p> <p>In progress</p>	<p>RDU to review all research staff training courses in June 2012</p> <p>RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained.</p>

<p>Researchers acknowledge their responsibility for managing and pursuing their career, and that they benefit from the varied provision available through the College and Academic Schools</p>	<p>Current practice is already compliant with the Concordat and should be maintained, subject to review.</p> <p>Continue to provide and publicise College provision for research staff</p> <p>Develop support for PIs (through PI training programme) to have conversations with their research staff regarding their training needs</p>	<p>Research staff</p> <p>RDU and other training providers</p> <p>RDU and HR</p>	<p>Established</p> <p>Established</p> <p>PI training in development, anticipated to be ready to pilot by January 2012</p>	<p>RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained.</p> <p>Ongoing monitoring of attendance and participant feedback</p> <p>RDU to review PI training in June 2012</p>
<p>Researchers value the opportunity to discuss their career development requirements and activities with their PI</p>	<p>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.</p>	<p>Research staff</p>	<p>In progress</p>	<p>RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained.</p>

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.

<p>The College's equality and diversity policies were reviewed and extended in 2010 and 2011. This includes the publication of a Race Equality Policy and Action Plan, a new Gender Equality Scheme, a new College Equality and Diversity Statement (replacing the former Equal Opportunities Statement) and statements upon other protected characteristics: age, religion and belief, and transgender. HR have reviewed their family friendly policies and have made some alterations and updates in light of recent legislative changes. The vast majority of researchers believe that King's is committed to equality and diversity and that staff are treated without discrimination with regard to all aspects of professional life</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>HR Equality and Diversity Unit</p>	<p>Complete</p>	<p>HR to continue monitoring of all recruitment and promotion decisions on the basis of statutory duties in relation to equality and fair treatment</p> <p>RDU to seek researcher feedback biannually through CROS to ensure that good practice is maintained.</p>
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<p>Recruitment of researchers is on the basis of national advertising in accordance with the UKBA's Resident Labour Market Testing</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>HR Academics and other staff involved in the recruitment process</p>	<p>Established</p>	<p>N/A</p>
<p>The Researcher Development Unit and the Governance Team jointly run programmes for women researchers incorporating Action Learning. Action Learning is introduced as a way of supporting and developing women in their research careers and provides participants with the chance to explore the issues they face as women researchers with a view to finding a way forward for them as individuals.</p>	<p>Continue offering programmes incorporating Action Learning for women researchers.</p>	<p>RDU and Governance team</p>	<p>Established</p>	<p>RDU to review programme in June 2012</p>

<p>The College's new Race Equality Policy and Action Plan was published in April 2010 after widespread internal consultation. The Action plan is now being progressed. A BME Staff Network was set up in 2010 and this network informed the policy and continues to meet, both as a support group and to help the College meet its race equality objectives.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>Equality and Diversity Unit</p>	<p>Established</p>	<p>Equality and Diversity Team to review progress of race equality action plan when it sets College wide Equality Objectives in early 2012.</p>
<p>There are two Equality Advisers within the Graduate School office who can offer advice and support on equalities issues.</p>	<p>Continue providing equality advisers to advise research staff and academics</p>	<p>Equality and Diversity Unit Graduate School</p>	<p>Established</p>	<p>N/A</p>

<p>The College operates a number of policies to provide the flexibility necessary for successful research performance in line with legal requirements. In particular but not exclusively the College's Flexible Working Policy, the College Maternity and Paternity leave Policies and the Right to request time off for work for members of staff who are parents or carers. Academic Schools consider requests for flexible and part-time working seriously.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>HR Academics and other staff involved in the recruitment process</p>	<p>Established</p>	<p>HR will review current policy, indicative date set for November 2012</p> <p>RDU to seek researcher opinion on procedure biannually through CROS to ensure that good practice is maintained.</p>
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<p>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.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>HR and Equality and Diversity Unit</p>	<p>Ongoing</p>	<p>N/A</p>
<p>The College uses Occupational Health input and support where health and/or disability issues arise, actively seeking to implement Reasonable Adjustments where identified.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>HR and Occupational Health</p>	<p>Established</p>	
<p>The College provides support for researchers for whom English is not their first language through service provided by the ELC.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>ELC</p>	<p>Established</p>	<p>ELC to review practice June 2012</p>

<p>The College operates a Dignity at Work policy that is easily accessible through the College web site. Furthermore, all staff can avail themselves of the grievance procedure.</p>	<p>Current policy and practice is already compliant with the Concordat and should be maintained, subject to review.</p>	<p>HR</p>	<p>Established</p>	<p>HR will review current policy, indicative date set for November 2012</p>
<p>The College became a signatory of the Athena SWAN Charter in December 2007. In June 2008 it was granted a Bronze award, with very favourable feedback from the Athena Panel. Good progress has been made in bringing together relevant data and increasing the College's understanding of the issues experienced by women working in SET disciplines. Knowledge of Athena 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.</p>	<p>Kings is now looking to apply for a renewal of its Bronze Award in November 2011. Individual departments are also considering applying for a departmental Silver award.</p> <p>College to support the Athena SWAN initiative</p>	<p>Equality and Diversity Unit</p>	<p>Established until November 2011.</p>	<p>Application for Bronze renewal taking place during Summer 2011.</p>

