

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: Imperial College London

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Web-link to published version of organisation's HR Strategy and Action Plan:

<http://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/hr/public/staff-survey/HR-VISION-2020.pdf>

Web-link to organisational recruitment policy (OTM-R principles):⁴⁵

<http://www.imperial.ac.uk/human-resources/procedures/recruiting-staff/recruitment-and-selection-procedure/policy/>

SUBMISSION DATE: 5TH OCTOBER 2018

DATE ENDORSEMENT CHARTER AND CODE: 19TH SEPT 2018 *

***IMPORTANT NOTE - Imperial College London previous HR Excellence in Research Award submission timeline 2012-2018.**

Since 2012 Imperial's HR Excellence submissions have been mapped against the UK Concordat to Support the Career Development of Researchers, therefore within our submission there is reference from earlier actions to the UK Concordat. Imperial has endorsed and is now committed to the 40 principles of the European Charter and Code Going and have mapped our actions against the EU Charter and Code.

2012 - Submitted a Gap Analysis and an initial Action Plan in 2012 (actions focus - 2013-2015).

2015 - Completed a 2 year internal review with revised Action Plan (actions focus - 2015-2017).

2017 - Submitted a 4 year review with revised Action Plan (actions focus - 2017-2019). Since submitting we have transferred from the UK process to the EU process, therefore the documentation has been updated and transferred to the new strengthened process.

2018 – Revised documentation submitted includes – transferred and updated Gap Analysis (Template 1), a Revised Action Plan (Template 2) and our Internal Review (Template 3).

2019 – Received assessor comments – accepted with minor changes

The most up to date documents, covering the actions and progression from the initial 2012 actions to June 2018, are the revised Gap Analysis, Action Plan and Internal Review document.

In the UK, PhD students (referred to as Postgraduate Researchers /PGRs) are considered students, rather than staff. Processes for recruiting and supporting this group do not fall under HR and are monitored by the College's Senate and externally by the UK Quality Assurance Agency (QAA) as part of their Enhancement-Led Institutional Review Process. Therefore, we have not included PGR support explicitly in this document. However, we have robust processes in place to monitor the PGR experience and include PGRs in decision

making. PGR feedback is gathered via the biannual PRES survey (Postgraduate research experience survey) and the College's Student Experience Survey. The Graduate School has also appointed Student Programme Leaders to advise on the professional development opportunities available at the College through the Graduate School as well as an annual Graduate School course evaluation review process. The Graduate School also hosts an annual external advisory board with student representation and supports the student representative system.

PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. ¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

The HR Excellence in Research Award is managed by the PFDC but consultation and decision making occurs across the College – please see 'Communication Plan' which shows the meetings where HR Excellence in Research Award or activities within the HR Excellence Action Plan are discussed and initiatives established. Please note that informal and ad-hoc meetings also provide an opportunity for discussion and development.

The Vice Provost (Research and Enterprise), Professor Nick Jennings and Director of HR and Organisational Change, Mrs Louise Lindsay - report updates to the Provost's Board.

The College has an HR Excellence in Research Award Working Group who meet annually to review the status of the actions and to update targets. The Postdoc and Fellows Development Centre (PFDC) lead and manage the meetings, the review of actions and the submission with responsible leads.

The group includes leads from across HR: Director of HR and Organisational Change; Deputy Director - HR and Service Transformation; Head of Reward, Engagement and Policy; Director of Occupational Health; Deputy Director- Organisational Development and Inclusion; Head of PFDC and PFDC Consultant.

Feedback from researchers at all stages is captured via the Staff Survey and Athena SWAN surveys as part of department action plans development and monitoring (please note PGR feedback is gathered via the biannual PRES survey and the College's Student Experience Survey.)

Consultation with Early Career Researchers (ECRs) takes place via the PFDC Postdoc Reps Network – with representation from across all departments. The reps act as bridge between the PFDC and the departments - the Reps and PFDC meet formally on a termly basis and have an ongoing consultation via department level meetings.

The wider ECR community are consulted via specific Focus Groups led by the PFDC. The purpose of these meetings are to give ECRs an opportunity to engage in an open discussion, providing feedback on specific areas of interest/concern to them. The PFDC build this feedback into the actions and status of actions for the HR Excellence reviews.

The PFDC works with PFDC Champions to ensure that the voices of ECRs are well-represented at the departmental level. The Head of PFDC meets with the PFDC Champions on a termly basis to discuss the support for ECRs.

¹ The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ,level', type of contract etc. etc.

² For a description of R1-R4, please see http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

In 2018 to ensure Imperial's actions within the HR Excellence in Research Award are strongly aligned with other accreditation initiatives across the College a sub group – 'Organisational Development & Inclusion Benchmarks/Accreditations' was established – meeting quarterly to review progress on actions across the HR Excellence in Research Award, Athena SWAN and Stonewall, ensuring the College takes a coordinated approach to College wide action.

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation’s GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter’s implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation’s recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

Ethical and Professional Aspects

<p>1. Research freedom Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London has adopted the Council for Science and technology's Universal Ethical Code for Scientists. See also: Imperial College London Research Integrity and Imperial College London's Ethics Code which states</p> <p><i>'The College fully upholds academic freedom within the law for staff and students.'</i></p> <p>The College is committed to the UK Concordat to Support the Career Development of Researchers which states: "Researchers must be able to exercise freedom in their academic choices, and must also accept responsibility for the decisions they make. Thus, the primary responsibility for ensuring that they act according to these principles in all aspects of their research work, including peer review, lies with the individual. Employers of researchers, funders of research and other organisations engaged with supporting research and researchers also have important roles to play."</p> <p>San Francisco Declaration on Research Assessment (DORA).</p>	<p>Current Practice</p> <p>The College has adopted the Council for Science and technology's Universal Ethical Code for Scientists and upholds its three principles, which are:</p> <ul style="list-style-type: none"> • Rigour, Honesty and Integrity • Respect for Life, the Law and the Public Good • Responsible Communications: Listening and Informing <p>An Annual Report is published on Research Integrity – RESEARCH INTEGRITY ANNUAL REPORT 2016-17</p> <p>'Suggested improvement (action)' Academic Strategy - Development of new strategic goals of the research organization.</p>
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<p>2. Ethical principles Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London has an overall Ethics Code and Relationship Review Policy, policies relating to specific processes or procedures with ethical relevance.</p> <p>The Ethics Code sets out conduct expected from the College community to promote and support good ethical behaviour.</p> <p>The College has adopted a Relationship Review Policy which sets out how members of the College community should consider whether there are any ethical concerns in connection with proposed and continuing relationships with third parties.</p> <p>The College has in place a number of additional policies and procedures of ethical relevance, for example, relevant to fundraising and</p>	<p>Current Practice</p> <p>The Ethics Code and the Relationship Review Policy came into effect on the 1st November 2013, it was formally reviewed by the Audit Committee one year after adoption is now reviewed every three years (Last Revised: 23rd June 2016).</p> <p>Research Ethics Committee</p> <p>Imperial College Research Ethics Committee is the College Ethics Committee which deals with the ethical approval of research involving human participants and /or their data that is undertaken by College staff or students.</p> <p>‘Suggested improvement (action)’ To provide tailored support for ECRs with regards the importance of ethical practices and principles. PFDC to provide a Pop Up and PFDC Reps to look at dept. specific training for ECRs. PFDC webpages to signpost to relevant resources.</p>

		<p>philanthropic income, research ethics and integrity.</p> <p>Specific legal and ethical requirements for researchers to consider when designing experiments and conducting research include: submitting research proposals for ethical review Researchers should also ensure that research projects are approved by all applicable bodies, ethical, regulatory or otherwise. Researchers must comply with all legal and ethical requirements and with other guidelines that apply to their research.</p> <p>When conducting, or collaborating in, research in other countries, researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted.</p> <p><u>Human, Clinical and Healthcare Research</u> The College has a Joint Research Compliance Office whose remit is to help the College and its researchers meet the requirements of research governance. For more information, please visit the website of the Joint Research Compliance Office.</p> <p><u>Animal Research</u> Policy on the Use of Animals in Research</p> <p><u>Genetic Modification Work</u></p> <p>Plant Pathogens and Pests All work with plant pathogens and pests, and their vectors, including bacteria, fungi, insects,</p>	
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		viruses and other organisms, must be carried out according to the regulations of the Ministry of Agriculture, Fisheries and Food and, where necessary, the appropriate licence obtained.	
<p>3. Professional responsibility Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.</p>	+/-	<p>Legislation or Policy</p> <p><u>Imperial Expectations</u> It is imperative that all members of Imperial College London, whether students, staff or administrators, recognise the responsibilities that they share for developing and maintaining a culture in which sound research practices are adopted and inappropriate ones detected. Every employee and student of the College has a duty to inform the appropriate authorities if he/she knows or suspects that there has been a breach of good conduct (see <u>Research misconduct</u>).</p> <p><i>Researchers are responsible for:</i></p> <p><i>a) Adhering to the highest level of research ethics, in line with requirements set out by national and international regulatory bodies, professional and regulatory research guidance, and research ethics frameworks issued in appropriate areas.</i></p> <p><i>b) Ensuring that any research undertaken complies with any agreements, terms and conditions relating to the project, and allows for proper governance and transparency.</i></p> <p><i>c) Remaining aware of the College’s policies and procedures on good practice in research.</i></p> <p><i>d) Declaring any potential or actual conflicts of interest relating to research and where necessary taking steps to resolve them.</i></p> <p>Other policies under Professional Responsibility</p>	<p>Current Practice</p> <p><u>Imperial Expectations</u> Currently all staff are invited to attend Imperial Expectations half-day session and networking event within the first 6 months of employment.</p> <p><u>Guidance</u> is provided to managers for new staff inductions</p> <p>‘Suggested improvement (action)’ To enhance the PFDC Welcome Lunch for ECRs to provide additional signposting and networking opportunities.</p> <p>Additional training provided via the PFDC Pop-Up series – provide training and knowledge sharing from relevant College colleagues.</p> <p>‘Suggested improvement (action)’ To revise the PFDC Welcome booklet for new postdocs and fellows – as an induction tool.</p> <p>‘Suggested improvement (action)’ <u>Harassment, bullying and victimization</u> & <u>Respect for Others</u> Respect for Others policy & Harassment and Bullying Policy to be revised.</p>

		<p>include:</p> <p>Intellectual Property The College's Intellectual Property (IP) policy was revised 6 April 2015.</p> <p>UK Intellectual Property expectations</p> <p>Plagiarism The College's definition of plagiarism is published by Registry.</p> <p>Specific information is provided for researchers with regards plagiarism.</p> <p>Relevant to Society Imperial Research Strategy 2015-2020</p> <p>Data Research Data Management and Data Ownership</p> <p>Harassment, bullying and victimization & Respect for Others</p>	
<p>4. Professional attitude Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Information Governance Policy Framework</p> <p><i>All College staff, students and academics as well as anyone else working for the organisation (agency staff, honorary contracts, management consultants etc.) who use and have access to College information must understand their personal responsibilities for Information Governance and comply with UK law. All staff</i></p>	<p>Current Practice</p> <p>ECRs are invited to attend Imperial Expectations half day session as detailed in (see 3. Professional responsibility). Guidance is provided to ECRs via Research Services, the Research Office and the PFDC i.e. Funder Showcases.</p> <p>'Suggested improvement (action)' To promote current Research Integrity training and review/develop the specific Research Integrity training for new</p>

<p>completed, or give notice if it is to be terminated earlier or suspended for whatever reason.</p>		<p><i>must comply with College policies, procedures and guidance and attend relevant education and training events in relation to IG.</i></p> <p>See also: Research related policies</p>	<p>ECRs that incorporates professional responsibility and professional attitude.</p>
<p>5. Contractual and legal obligations Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Research Related Policies related to Contractual and legal obligations –</p> <ul style="list-style-type: none"> • Proposal Development Policy • Investigator Eligibility Policy • Costing and Pricing Policy • Approval and Authorisation Policy • Preferred Terms and Conditions Policy • Post Award Management Policy • Classification and Management of Research Funding • College IP Policy • Reward to Inventors Scheme • NIH Financial Conflict of Interest Policy • Imperial College RDM Policy • Imperial's open access policy <p>Financial Regulations: Imperial College internal financial regulations</p> <p>Data and Information related policies:</p> <p>Data Protection Policy & GDPR Policy</p>	<p>Current Practice</p> <p>On signing their contract as an ECR that individual is committing to the expectations on any staff member at Imperial thus taking a professional attitude towards their research and employment at Imperial.</p> <p>Statements in the ECR contract highlight the expectations and signpost individuals to further information related to professional responsibility and professional attitude.</p> <p>Text from ECR contract - Policies and Procedures <i>During your employment, you are required to act in accordance with existing College policies and regulations, including any changes that may be made to existing policies or regulations and any new policies or regulations as they are introduced.</i></p> <p><i>You are also required to familiarise yourself with the College's key policies and procedures (on Confidentiality, Conflict of Interest, Data Protection, Equal Opportunities, Ethics related, External Interests, Financial Regulations, Health and Safety, Imperial Expectations, Information Technology, and Smoking). These do not form part of your contractual terms however you are required to abide by them. Copies of these key policies and procedures are available from the HR website www.imperial.ac.uk/newstaff and can be accessed from outside the College; hard copies may be obtained from your HR team upon request.</i></p> <p>'Suggested improvement (action)'</p>

			Researchers to be aware of their responsibility under Imperials Data Projection Policy and the new GDPR.
<p>6. Accountability Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.</p>	+	<p>Legislation or Policy</p> <p>Proposal Development Policy: provides an overview of the principles governing the development of funding proposals (grant applications and research contracts) and relevant College policies. The policy also sets out the principles governing Bid Management.</p> <p><i>Principal Investigator is responsible for overseeing the development and submission of their research proposals. However, elements of the process (e.g. InfoEd costing) may be appropriately delegated to administrative or other staff. Whilst responsibility can be delegated, accountability cannot. As such, Principal Investigators are obliged to:</i></p> <ul style="list-style-type: none"> • <i>be familiar with the principles and policies outlined in Section 2 of this policy</i> • <i>notify their Head of Department and Faculty Research Services of any matters or concerns they are aware of that could affect (or be perceived to affect) the probity of a research proposal or related third party relationship e.g. potential conflicts of interest, research with potential for misuse, knowledge of unethical practice allegations etc.</i> • <i>follow Departmental or College internal peer review procedures (where appropriate)</i> • <i>commit to observing the funder's terms and conditions of funding / agreement</i> 	<p>'Suggested improvement (action)' (as per 4. Professional attitude) To promote current Research Integrity training and review/develop the specific Research Integrity training for new ECRs that incorporates professional responsibility and professional attitude.</p> <p>Explore and establish a (new) Research Integrity Learning Package for all researchers</p>

		<p>See also: Imperial College London RDM Policy: policy in order to foster best practice in research data management for the academic and research community. Imperial College London Data Quality policy, Copyright Guidance and Expectation in the UK - summarised by JISC.</p>	
<p>7. Good practice in research Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.</p>	+/-	<p>Legislation or Policy</p> <p>Imperial Essentials have been developed with three objectives in mind, to:</p> <ul style="list-style-type: none"> • Keep our People Safe • Keep our Information Safe • Contribute to a Positive Working Environment <p>Essentials provide the key information that all new staff need to know in the first six months of their employment.</p> <p>Health, Safety and Wellbeing related policies: Health and Safety Policy plus guidance on all Health and Safety scenarios across College</p> <p>Health and Wellbeing Policy</p> <p>Data and Information related policies:</p> <p>Data Protection Policy & GDPR Policy</p> <p>Data Quality Policy</p> <p>Information Systems Security Policies Information Security Policy</p>	<p>Current Practices</p> <p>Health and Safety courses and information is provided to all staff. Staff are informed during their induction of specific health and safety training required.</p> <p>Under the current change from the Data Protection Act to the new GDPR Act - Imperial is supporting researchers to understand the implications for current data as well as forward thinking about the implications on the data generated or used in future research projects.</p> <p>‘Suggested improvement (action)’ Imperial Essentials Booklet to be created and accessible online in Sept 2018</p> <p>‘Suggested improvement (action)’ PFDC to provide a Pop Up on the new GDPR for ECRs - the relevance to them, and what the College is doing to assist staff to ensure their compliance.</p> <p>‘Suggested improvement (action)’ Create ECR specific online information and resources explaining GDPR: the law in brief, the relevance to postdocs and fellows, and what the College is doing to assist staff to ensure their compliance.</p>

		Codes of Practice	
<p>8. Dissemination, exploitation of results</p> <p>All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</p>	+	<p>Legislation or Policy</p> <p>Dissemination related polices: Open Access Policy</p> <p>Funders Open Access Policies</p> <p>RDM Policy</p> <p>Authorship</p> <p>Data Polices: Data Quality Policy</p> <p>Data Retention</p> <p>Data Protection</p>	<p>Current Practices</p> <p>The Library provides support, training and infrastructure to enable researchers to ensure they are REF eligible and have an understanding of Open Access and RDM requirements and how they apply to them as ECRs.</p> <p>Scholarly Communications webpage for ECRs have been made available in addition to RDM Guidance, Open Access and REF eligibility Guidance</p> <p>ECRs can request one to one support from the Scholarly Communications Team for further support, training and guidance.</p> <p>The Excellence Fund for Frontier Research, launched in December 2016, has been established to support research ideas which are possible breakthrough programs that have the potential to put the College in a leadership position, even if the ideas have not yet received outside funding.</p> <p>ECRs are provided information about filing a Patents via British Library Business and IP Centre Imperial Innovations Imperial College Business School's Entrepreneurship Hub</p>
<p>9. Public engagement</p> <p>Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with</p>	+	<p>Legislation or Policy</p> <p>Public interest disclosures</p> <p>Engagement Framework</p> <p>View the Societal Engagement Framework (PDF) in full.</p>	<p>Current Practices</p> <p>Imperial delivers a range of societal engagement-related training opportunities, which are designed to support staff and students in developing high quality engagement work</p> <p>The Societal Engagement SEED Fund</p> <p>The Societal Engagement team offer small grants to enable staff</p>

<p>the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.</p>		<p>Imperial College London Plan for engagement 2017-2020</p> <p>College Governance</p>	<p>and students to develop and deliver new societal engagement initiatives. This fund enables staff including ECR to engage in specific projects for public engagement.</p> <p>Imperial Festival Imperial Festival is a free public event which is held each year on Imperial's South Kensington Campus. The weekend-long event features activities and attractions for all ages. ECRs are encouraged to take part in Imperial Festival as part of their research group or as individuals.</p> <p>PFDC Training ECRs are encouraged to attend courses on how to communicate with lay audiences, how to write lay summaries - and a range of sessions that enable them to develop skills in public engagement.</p> <p>'Suggested improvement (action)' To ensure ECRs are aware of the importance of public engagement and provide opportunities for them to take part and lead in outreach activities.</p>
<p>10. Non discrimination Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London is committed to promoting and embedding equality and diversity throughout the College. The Equality Objectives provided an overarching plan over a two year period, and were published in accordance with Imperial's Public Sector Duty. The new Equality Strategy, published in 2018 now precedes the Objectives.</p> <p>The College's Equality Strategy underpins the College's strategic vision and mission, closely</p>	<p>Current Practices</p> <p>The College's Equality, Diversity and Inclusion Centre (EDIC), previously called the Equality and Diversity Unit. The EDIC promotes and embed all aspects of equality throughout the College and aims to support the whole College to foster an inclusive environment to support the diversity of staff.</p> <p>They advise and influence best practice in the College, specifically ensuring compliance with the Equality Act 2010 and other relevant legislation. The EDIC Centre maintains collaborative relationships with staff groups at Imperial and with sector-wide peers and external organisations.</p>

		<p>linking with the College's strategic aims.</p> <p>Equality and diversity forms an integral part of Imperial Expectations, the set of seven statements which articulate how the College expects its leaders, managers and supervisors to behave.</p> <p>The Equality Act 2010 - legal framework to more effectively tackle disadvantage and discrimination.</p> <p>Race Equality Charter January 2018 Imperial became a member of the Race Equality Charter (REC)</p>	<p>The new Assistant Provost for Equality, Diversity & Inclusion, Professor Stephen Curry, launched a draft EDI strategy for the College community, including staff and students. This was shared for widespread consultation via Staff Briefing, EDI Forums, staff networks and other avenues, in May 2018.</p> <p>Further details about specific training to ECRs can be found: Equality and Diversity Training Unconscious Bias Active Bystander</p>
<p>11. Evaluation/ appraisal systems Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration,</p>	<p>+/-</p>	<p>Legislation or Policy</p> <p>Personal Review and Development Plan (PRDP) Imperial College London is committed to creating a supportive, inclusive and highly motivated staff community across all disciplines, functions and activities. A PRDP is a conversation that focuses on the previous year's work, plans and objectives for the forthcoming year, and includes the preparation of an individual development plan. It is recommended that PRDPs take place on a regular annual cycle, in line with local requirements.</p> <p>The conversation in a PRDP is broader in focus than one-to-ones. Time should be specifically allocated to cover a review of the previous year, and to discuss and agree the specific aims and objectives for the next year, which should include</p>	<p>'Suggested improvement (action)' Following feedback from ECRs that the PRDP form was not effective for their personal review and development – the PFDC plan to establish a Task and Finish Group to consult on/develop a new PRDP form specifically for ECRs. Consultation will be with ERCs and academic staff. Training and guidance to accompany the form will be discussed/developed via the full consultation.</p> <p>For the ECR PRDP form to be rolled out College wide with guidance for ECR and Line manages. Training for ECRs and Line Managers in effective use of the new ECR PRDP form to be established.</p>

<p>administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.</p>		<p>details of personal and career development and aspirations.</p> <p>Imperial Expectations PRDPs support the application of Imperial Expectations. PRDPs - Celebrate achievements, enhance performance, help staff to develop careers and Identify individual development plans.</p>	
<p>Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.</p>			
<p>12. Recruitment Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.</p>	<p style="text-align: center;">+</p>	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection procedures:</p> <ul style="list-style-type: none"> • are applied consistently and fairly, and comply with legislation and best practice principles • are conducted in a professional, timely and responsive manner • result in the best person being appointed to the job based on merit • support the College’s core mission and strategy <p>Ensuring equality of opportunity for all applicants is in line with the Equality Act 2010.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p>	<p>Current status/practices</p> <p>Review of recruitment practices</p> <p>The College’s recruitment procedures and practices will be kept under review to ensure that they are operating effectively.</p> <p>Recruitment practices</p> <p>All staff who are on recruitment panels are expected to have attended a recruitment and selection training course.</p> <p>Recruitment Operating Model - In the new operating model, a primary Recruitment Administrator supports the recruitment process from end to end, liaising with individuals as required. There is guidance on the procedures to be followed.</p> <p>The recruitment experience is being improved with the introduction of centralized recruitment offer.</p> <p>Templates and guidance are provided to recruiters to enable them to meet the standards expected of the Recruitment Policy.</p>

		<p>Further information is provided via the Careers Service – Equality and Diversity</p>	<p>With regards to the job descriptions, job calls, candidates packs and how to detail the skills, knowledge and competencies required for the role. Criteria in a job description must be capable of being assessed through application forms, interviews, and selection tests.</p> <p>The Recruitment Policy breakdown expectations and procedures under the following headings:</p> <p>General principles Determining the need to recruit Job descriptions, person specifications and further particulars Evaluating a job Advertising Shortlisting Interview arrangements Making an offer Pre-employment checks</p>
<p>13. Recruitment (Code) Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection procedures:</p> <ul style="list-style-type: none"> • are applied consistently and fairly, and comply with legislation and best practice principles • are conducted in a professional, timely and responsive manner • result in the best person being appointed to the job based on merit • support the College’s core mission and strategy <p>Ensuring equality of opportunity for all applicants</p>	<p>Current Practices</p> <p>All roles must be advertised for a minimum of 2 weeks as detailed in the Recruitment Policy.</p> <p>Templates and guidance are provided to recruiters to enable them to meet the standards expected of the Recruitment Policy. Including guidance for the Recruitment Administrator and Hiring manager on the initiation of recruitment, costing, job advert, open call advertisement and job descriptions.</p> <p>The Recruitment Policy breakdown expectations and procedures under the following headings:</p> <p>General principles Determining the need to recruit</p>

<p>prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.</p>		<p>is in line with the Equality Act 2010.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p>Further information is provided via the Careers Service – Equality and Diversity</p>	<p>Job descriptions, person specifications and further particulars</p> <p>Evaluating a job</p> <p>Advertising</p> <p>Shortlisting</p> <p>Interview arrangements</p> <p>Making an offer</p> <p>Pre-employment checks</p>
<p>14. Selection (Code)</p> <p>Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection procedures:</p> <ul style="list-style-type: none"> • are applied consistently and fairly, and comply with legislation and best practice principles • are conducted in a professional, timely and responsive manner • result in the best person being appointed to the job based on merit • support the College’s core mission and strategy <p>Ensuring equality of opportunity for all applicants is in line with the Equality Act 2010.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p>Further information is provided via the Careers</p>	<p>Current Practices</p> <p>All staff who are on recruitment panels are expected to have attended a recruitment and selection training course. It is College policy that at least one member of the panel must have been trained in recruitment and selection.</p> <p>It is also recommended that recruitment panel members attend unconscious bias training.</p> <p>There should be continuity of panel membership from the shortlisting to the interview stage to facilitate understanding and consistency within the selection process.</p> <p>Panel members should:</p> <ul style="list-style-type: none"> • Offer specialist knowledge relevant to the role • Be as diverse as possible. <p>The Recruitment Policy includes the expectations of who makes up the Selection Panel.</p> <p>The panel should be set up as soon as possible following approval to recruit.</p> <p>For non-Academic posts, there must be a minimum of 2,</p>

		Service – Equality and Diversity	<p>preferably 3, panel members to ensure objective decision-making.</p> <p>For Academic posts, the Advisory/Appointments Committee, for which there are specific composition requirements, forms the shortlisting panel (see Recruit and appointment procedure for Chairs and Readers [pdf] or Lecturers' and Senior Lecturers' Appointments Committee membership as appropriate).</p>
<p>15. Transparency (Code) Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their</p>	+	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection procedures:</p> <ul style="list-style-type: none"> • are applied consistently and fairly, and comply with legislation and best practice principles • are conducted in a professional, timely and responsive manner 	<p>Current Practices</p> <p>Information provided to the applicants/candidate prior to the shortlisting details the selection and recruitment information-guidance is provided to recruiters and via the policy, and consistency is maintained via the recruitment model.</p> <p>Criteria in a job description must be capable of being assessed through application forms, interviews, and selection tests.</p>

<p>applications.</p>		<ul style="list-style-type: none"> • result in the best person being appointed to the job based on merit • support the College’s core mission and strategy <p>Ensuring equality of opportunity for all applicants is in line with the Equality Act 2010.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p>Further information is provided via the Careers Service – Equality and Diversity</p>	<p>Standardised feedback to applicants at shortlisting and interview stage is available - guidance for recruiters and the panel on how to provide feedback is provided in the Recruitment Policy.</p> <ol style="list-style-type: none"> Providing feedback to applicants not shortlisted Providing feedback to applicants after interview <p>Following the vacancy closing date, the Recruitment Administrator emails all applications and a Shortlisting Record Form to Hiring Manager/the shortlisting panel.</p>
<p>16. Judging merit (Code) The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork,</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection individuals is on the basis of their relevant merits, skills and competency in line with the College’s Equality Strategy.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p>Further information is provided via the Careers Service – Equality and Diversity</p>	<p>Current Practices</p> <p>All staff who are on recruitment panels are expected to have attended a recruitment and selection training course.</p> <p>It is also recommended that recruitment panel members attend unconscious bias training.</p> <p>The training required by the selection panel and the preparation that goes into the job description and candidate information pack enables the panel to take the different experiences and merits of candidates into account against the specific job specification.</p>

<p>knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.</p>			
<p>17. Variations in the chronological order of CVs (Code) Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection of individuals is on the basis of their relevant merits, skills and competency in line with the College’s Equality Objectives.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p><i>“Include ‘or equivalent’ when stating qualification standards to accommodate candidates who have the competencies required but, for example, have been educated overseas or prior to the introduction of specific qualifications, taken a career break for childcare purposes, or progressed their career through non-traditional routes. This will encourage applicants from a wide range of backgrounds to apply without compromising your needs and ensure that you meet legislative requirements.”</i></p> <p>Further information is provided via the Careers</p>	<p>Current Practice</p> <p>All staff who are on recruitment panels are expected to have attended a recruitment and selection training course.</p> <p>It is also recommended that recruitment panel members attend unconscious bias training.</p> <p>The training required by the selection panel and the preparation that goes into the job description and candidate information pack enables the panel to take the different experiences into account against the specific job specification.</p>

		Service – Equality and Diversity	
<p>18. Recognition of mobility experience (Code) Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.</p>	+	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection individuals is on the basis of their relevant merits, skills and competency in line with the College’s Equality Strategy.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p><i>In the work experience section, include job titles that you would expect applicants to have when applying for the vacancy. This will provide context for the candidate and maximise the reach of the position when advertising; it will help search engine optimisation.</i></p> <p>Further information is provided via the Careers Service – Equality and Diversity</p>	<p>Current practice</p> <p>All staff who are on recruitment panels are expected to have attended a recruitment and selection training course.</p> <p>It is also recommended that recruitment panel members attend unconscious bias training.</p> <p>The training required by the selection panel and the preparation that goes into the job description and candidate information pack enables the panel to take the different experiences and mobility experience of candidates into account against the specific job specification.</p>
<p>19. Recognition of qualifications (Code) Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, in particular within the context of international and professional mobility. They should</p>	+	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection individuals is on the basis of their relevant merits, skills and competency in line with the College’s Equality Strategy.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists</p>	<p>Current practice</p> <p>All staff who are on recruitment panels are expected to have attended a recruitment and selection training course.</p> <p>It is also recommended that recruitment panel members attend unconscious bias training.</p> <p>The training required by the selection panel and the preparation that goes into the job description and candidate information</p>

<p>inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels</p>		<p>recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p><i>Include 'or equivalent' when stating qualification standards to accommodate candidates who have the competencies required but, for example, have been educated overseas or prior to the introduction of specific qualifications, taken a career break for childcare purposes, or progressed their career through non-traditional routes. This will encourage applicants from a wide range of backgrounds to apply without compromising your needs and ensure that you meet legislative requirements.</i></p> <p>Further information is provided via the Careers Service – Equality and Diversity</p>	<p>pack enables the panel to recognise qualifications; both academic and professional qualifications or experiences of candidates into account against the specific job specification.</p>
<p>20. Seniority (Code) The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection individuals is on the basis of their relevant merits, skills and competency in line with the College's Equality Strategy.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p><i>Use only job relevant qualifications that are appropriate for the role and Job Family grade.</i></p>	<p>Current practice</p> <p>All staff who are on recruitment panels are expected to have attended a recruitment and selection training course.</p> <p>It is also recommended that recruitment panel members attend unconscious bias training.</p> <p>The training required by the selection panel and the preparation that goes into the job description and candidate information pack enables the panel to take the different experiences of candidates into account against the specific job specification.</p>

		<p><i>Competencies should be used to describe the level of performance required for the role.</i></p> <ul style="list-style-type: none"> • <i>They can be work-environment specific, sector specific, job-related or general.</i> • <i>Phrase competencies carefully in order to avoid misinterpretation and ambiguity. Avoid any reference to local procedures, terminology or jargon.</i> <p>Further information is provided via the Careers Service – Equality and Diversity</p>	
<p>21. Postdoctoral appointments (Code)</p> <p>Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects.</p>	+	<p>Legislation or Policy</p> <p>Imperial College London is committed to ensuring that its recruitment and selection individuals is on the basis of their relevant merits, skills and competency in line with the College’s Equality Strategy.</p> <p>The Recruitment Policy provides guidance designed to provide a framework which assists recruitment and selection of the best person for the job in line with legislation and best practice principles.</p> <p>Guidance on Fixed term Workers</p> <p>Imperial College London treats equality of opportunity seriously and has an equality framework to ensure equality of opportunity. Implementation of the Fixed Term Worker guidance must be clear and transparent and not subject to any unfair discriminatory practices by line managers.</p> <p>Concordat to Support the Career Development of</p>	<p>Current Practices</p> <p>Guidance on Fixed term Workers for Staff and Manager</p> <p>Imperial Essentials supports a strong start for all new researchers.</p> <p>General recruitment and additional support for PIs via the Research Office with regards recruitment/appointment of postdoctoral staff.</p> <p>Support and strategic awareness of the postdocs at Imperial College is provided/enhanced via the PFDC to both to the postdoc directly and to the wider College community.</p> <p>The College aims to ensure a well-planned and executed induction for new staff, guidelines are provide for Line Managers to ensure inductions meets the College requirements so that every new member of staff has a strong start in their new role and feels part of their new team as soon as possible.</p>

		<p>Researchers. This sets out the expectations and responsibilities of researchers, their managers, employers and funders. Imperial College is committed to supporting ECRs against the expectations of EU Charter and Code for researchers and the UK Concordat.</p>	
Working Conditions and Social Security			
<p>22. Recognition of the profession All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).</p>	<p>+/-</p>	<p>Legislation or Policy</p> <p>Job Family Structure The job family structure is detailed on HR webpages and made available to all staff. This details the expectations at the different levels in each family, the pay level and recognition.</p> <p><i>PGR students via Imperial College Graduate School and Careers Service are informed of the opportunities available to them to progress in their academic career. PGR students are not classed as staff therefore are not captured under the HR Excellence Award.</i></p>	<p>Current Practices</p> <p>Training with regards movements between the Job Families, job evaluation and job regrading is provided to ECRs and researchers.</p> <p>Postdoc and Fellows Development Centre (PFDC) Imperial College London has acknowledged the importance of early career researcher through the core funding of the Postdoc and Fellows Development Centre</p> <p>PFDC Representatives (ERCs) and PFDC Champions (academic staff) are in every department to ensure that ECRs are recognised and supported as staff members.</p> <p>Awards To recognise the exceptional research and outstanding contributions of ECRs Imperial College established The President's Award for Outstanding Early Career Researcher in 2015. The PFDC host the annual PFDC Reps Award – recognising and celebrating the work and commitment of the PFDC reps. The event is supported by the Provost and the Vice-Provost (Research and Enterprise). The event is now in its fourth year and awards an individual award and a team award.</p> <p>‘Suggested improvement (action)’</p>

			Guidance of expectations from depts. with regards postdocs and fellows
<p>23. Research environment Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.</p>	+	<p>Legislation or Policy</p> <p>Health and safety policy statement Imperial College London is committed to pursuing excellence in everything it does and this includes the management of health and safety. The College are committed to achieving high standards of health safety and environmental practice.</p> <p>Health and Safety - Structure and Responsibilities In accordance with the University's Policy Statement, health and safety duties, and the necessary authority and resources to discharge them, are delegated down the line management structure as appropriate. The College also provides the necessary guidance and training to ensure that all concerned are aware of, and are competent to carry out, their responsibilities.</p>	<p>Current Practices</p> <p>Health and Safety policy last update was Dec 2016.</p> <p>Health and Safety</p> <p>To ensure a safe working environment for all staff, new members of staff are required, during their probation period, to undertake compulsory Month One Safety Training (MOST). In addition, staff appointed to a line management or supervisory position are also required to complete Risk Assessment Foundation Training (RAFT).</p> <p>Stimulating environments and training networks specifically available to ECRs managed/facilitated by the PFDC include:</p> <p>PFDC Welcome Lunch PFDC Reps Network PFDC Fellows Forum</p> <p>PFDC Reps and PFDC Champions work at department level to organise specific opportunities relevant to the needs of the group/departments – such as inductions, staff/postdoc handbooks, webpages, training and social activities.</p> <p>Imperial Networks Imperial College London has a number of staff networks and groups that aim to encourage collaborative working, knowledge sharing, and opportunities for both development and social engagement.</p>
<p>24. Working conditions Employers and/or funders should</p>	+	<p>Legislation or Policy</p>	<p>Current Practices</p>

<p>ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</p>		<p>Flexible working Imperial College London is committed to providing a supportive environment and flexible working can be of benefit to both employees and the College. Flexible working can help staff to feel more emotionally engaged, and more satisfied with their work. The College recognises that the ability to consider flexible working options can also be attractive when recruiting new staff to ensure the College is able to recruit the best and diverse workforce.</p> <p>The College treats equality of opportunity seriously and has an equality framework to ensure equality of opportunity. Implementation of the Flexible Working policy must be clear and transparent and not subject to any unfair discriminatory practices by line managers.</p> <p>Athena SWAN – (see 27. Gender Balance) Athena SWAN initiatives, actions plans and reviews at department level enables local action to be implemented to encourage flexible working.</p> <p>Family leave The College recognises the demands of family life and is committed to supporting members of staff to obtain a good work life balance. With this in mind, family leave guidance has been designed to support both staff and managers by guiding them through the procedures for the various family leave types, covering what needs to be considered and the steps that need to be complete.</p>	<p>Following the College Maternity Survey (2013) the following schemes were implemented at the College to support families:</p> <p>Childcare Support Scheme (College’s childcare support and childcare voucher schemes), Maternity mentoring, and workshops for parents.</p> <p>There is also the Parents' Network website.</p> <p>The RCUK have issued a set of guiding principles for HEIs to follow and the College has encouraged departments to follow these essential guidelines.</p> <p>The College has two awards for their commitment to supporting working families –</p> <p>2017 Best for all Stages of Fatherhood Award in the annual Top Employers for Working Families Special Awards & 2016 Top 30 Employers for Working Families</p>
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<p>25. Stability and permanence of employment Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.</p>	+	<p>Legislation or Policy</p> <p>Guidance on Fixed term Workers Imperial College London treats equality of opportunity seriously and has an equality framework to ensure equality of opportunity. Implementation of the Fixed Term Worker guidance must be clear and transparent and not subject to any unfair discriminatory practices by line managers.</p> <p>Including Guidance for staff and managers plus FAQs.</p> <p>In line with the Fixed –term Employees Regulations 2002 all staff on a fixed term contract, with over 4 years service, will convert to an open-ended contract. If a contract is coming to an end a consultation period will take place and suitable alternative employment will be sought and redeployment possibilities will be considered. Reasonable time off to look for alternative employment will also be given. Should there be a redundancy situation statutory redundancy will be paid. Support will be given with CV writing/mock interviews and coaching. Employees appointed on a fixed term contract</p>	<p>Current Practices</p> <p>10 days Development Training ECRs have an allowance of 10 days development training in their contracts.</p> <p>Text from ECR contract - 10 days Development Training <i>The College attaches great importance to personal development and the need for all staff to equip themselves with key skills, not only to undertake their College responsibilities effectively but as a personal benefit in relation to their longer term careers. You will therefore be required to attend at least one personal development programme as well as an induction programme during your probationary period, and a personal development programme of up to ten days in total annually thereafter.</i></p> <p>Postdoc and Fellows Development Centre (PFDC) Imperial College London has acknowledged the importance of early career researcher through the core funding of the Postdoc and Fellows Development Centre. Giving guidance and support for career development, goal setting to ensure ECRs understand their own potential career trajectory.</p> <p>The PFDC offer career development training via 1:1 support and mock interviews. Any postdoc or fellow shortlisted for a position can request a mock interview prior to their interview.</p>

		are treated no less favourably than the comparable employees on an open ended contract- with core terms and conditions no less favourable.	
<p>26. Funding and salaries Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.</p>	+/-	<p>Legislation or Policy</p> <p>All researchers are employed by Imperial College London on a contract with standard terms and conditions in line with all other staff. All roles are formally graded, and staff paid in line with national pay scales. See webpages for details: Pay and recognition and Job Family and Grading</p>	<p>Current Practices</p> <p>Each year the college reviews its pay and benefits.</p> <p>In 2017/2018 an institution wide consultation on salaries was conducted, as a result a new salary scale is being developed and implemented.</p> <p>All employees are updated via HR newsletter and information is shared via HR as required. Up to date information is provided on the relevant webpages.</p> <p>Specifically ECRs are provided with support about funding, salaries and progression between the job levels via:</p> <p>Postdocs/fellows can request 1:1 meetings to cover any topic including to review an application for progression.</p> <p>PFDC run an annual pop up on <i>Moving from Level B to C</i> - most recently this was held with a representative from HR and the union to brief the postdocs on what they need to do get move from B to C.</p> <p>In 2017 -'Taking the Next Step – A Guide to Promotion for Postdocs, Research Fellows, Teaching Fellows and New Lecturers' was held at South Kensington, St Marys and Silwood.</p> <p>'Suggested improvement (action)' To host 'Taking the Next Step – A Guide to Promotion for Postdocs, Research Fellows, Teaching Fellows and New</p>

			Lecturers' as an annual session.
<p>27. Gender balance Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.</p>	+	<p>Legislation or Policy</p> <p>Gender equality is legislated through the Equality Act 2010.</p> <p>Athena SWAN Imperial College London holds a Silver Athena SWAN award.</p> <p>Imperial is one of a very small number of universities to hold Silver, and was the first university to achieve Silver on the new post-May 2015 expanded criteria. The April 2016 submission was a renewal of the Silver Award.</p>	<p>Current Practices</p> <p>The College's Equality, Diversity and Inclusion Centre (EDIC), previously called the Equality and Diversity Unit. The EDIC promotes and embed all aspects of equality throughout the College and aims to support the whole College to foster an inclusive environment to support the diversity of staff.</p> <p>The new Assistant Provost for Equality, Diversity & Inclusion, Professor Stephen Curry, launched a draft EDI strategy for the College community, including staff and students. This was shared for widespread consultation via Staff Briefing, EDI Forums, staff networks and other avenues, in May 2018.</p> <p>Equality information and actions the College are taking with regards to equality are all outlined online, on the gender pay gap webpages and in the 2017 Gender pay gap report.</p> <p>Athena SWAN</p> <p>Departments' relationship with Athena SWAN at the Equality, Diversity and Inclusion Strategy Group are monitored centrally. All departments are expected to have at least a bronze award, or have credible plan in place for achieving bronze. All departments at Imperial are expected to eventually hold an Athena SWAN award.</p>
<p>28. Career development Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career</p>	+/-	<p>Legislation or Policy</p> <p>Capability policy Imperial College London is committed to developing and supporting staff to work effectively to meet the objectives of their roles.</p>	<p>Current Practices</p> <p>Capability policy Staff Guidance Managers' Guidance</p>

<p>development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.</p>		<p>The College has policies, procedures and processes in place with the aim of supporting the goals of its employees. Line managers are best placed to offer one-to-one support and guidance to their staff in meeting these objectives and developing new skills.</p> <p>Learning and Development Policy</p> <p>The College recognises that its ability to meet its strategic objectives depends upon highly motivated and high-achieving staff. It is therefore policy to:</p> <ul style="list-style-type: none"> • enable individuals to acquire knowledge and skills which will allow them to fulfil current responsibilities more effectively. • assist individuals to develop skills and/or gain qualifications which contribute to the achievement of agreed personal and career development goals. • support the development of teams and effective teamworking skills. • facilitate the effective integration of organisational change at faculty, department, division, or section level. <p>Personal Review and Development Plan (PRDP)</p> <p>The College is committed to creating a supportive, inclusive and highly motivated staff community across all disciplines, functions and activities.</p> <p>A PRDP is a conversation that focuses on the previous year's work, plans and objectives for the forthcoming year, and includes the preparation of an individual development plan. It is recommended that PRDPs take place on a regular</p>	<p>Personal Review and Development Plan (PRDP)</p> <p>‘Suggested improvement (action)’</p> <p>Following feedback from ECRs that the PRDP form was not effective for their personal review and development – the PFDC plan to establish a Task and Finish Group to consult on/develop a new PRDP form specifically for ECRs. Consultation will be with ERCs and academic staff. Training and guidance to accompany the form will be discussed/developed.</p> <p>For the ECR PRDP form to be rolled out College wide with guidance for ECR and Line manages. Training for ECRs and Line Managers in effective use of the new ECR PRDP form to be established.</p> <p>10 days Development Training</p> <p>ECRs have 10 days development training in their contracts.</p> <p>Text from ECR contract - 10 days Development Training</p> <p><i>The College attaches great importance to personal development and the need for all staff to equip themselves with key skills, not only to undertake their College responsibilities effectively but as a personal benefit in relation to their longer term careers. You will therefore be required to attend at least one personal development programme as well as an induction programme during your probationary period, and a personal development programme of up to ten days in total annually thereafter.</i></p> <p>Learning and Development Centre (LDC)</p> <p>Provide support and resources for all staff in relation to their personal and professional development.</p> <p>Postdoc and Fellows Development Centre (PFDC)</p> <p>Imperial College London has acknowledged the importance of early career researcher through the core funding of the Postdoc and Fellows Development Centre. Giving guidance and support</p>
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		<p>annual cycle, in line with local requirements.</p> <p>The conversation in a PRDP is broader in focus than one-to-ones. Time should be specifically allocated to cover a review of the previous year, and to discuss and agree the specific aims and objectives for the next year, which should include details of personal and career development and aspirations.</p> <p><u>Imperial Expectations</u> PRDPs support the application of Imperial Expectations. PRDPs - Celebrate achievements, Enhance performance, Help staff to develop careers and Identify individual development plans.</p>	<p>for career development, goal setting to ensure ECRs understand their own potential career trajectory.</p> <p>The PFDC offer career development training via 1:1 support and mock interviews. Any postdoc or fellow shortlisted for a position can request a mock interview prior to their interview.</p> <p>A new post of Professional Development Consultant – started in October 2017. Uniquely funded by the three Faculties and the Vice-Provost of Research and Enterprise. The focus is the support for fellowship applicants and development programmes for existing fellows.</p> <p>See action plan for projects that are in the pipeline with regards career development for ECRs.</p>
<p>29. Value of mobility Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual 12 mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher’s career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put</p>	+/-	<p>Legislation or Policy</p> <p><u>Secondment Policy</u> Secondments are a valuable tool for individual career development and for developing the skills of an organisation. A ‘secondment’ is the temporary move or ‘loan’ of a member of staff as defined in the Secondment Policy.</p> <p>Gap Analysis Currently the importance of independence and proactive career decisions is emphasised to ECRs, specifically via the work of the PFDC.</p> <p>ECRs are encourage to understand that a postdoc is not a career it is a transition period and that mobility (at multiple levels) can enhance a CV, career opportunities and networking opportunities. See suggested improvements in</p>	<p>Current Practices</p> <p>Imperial College London is part of the <u>Outside Insight</u> scheme- a London Inter-institution work shadowing scheme that gives staff the opportunity to engage with practical career and professional development in a way that allows them to have a wider appreciation, share and bring back knowledge, of work practices from other institutions.</p> <p>‘Suggested improvement (action)’ Imperial College London - Internal Shadowing Scheme – managed by PFDC</p> <p>‘Suggested improvement (action)’ To ensure secondments are clearly advertised to ECRs and that the individual understands the process.</p> <p>‘Suggested improvement (action)’ Career Pathways and Career Moves Toolkit to be developed and</p>

<p>in place to allow the portability of both grants and social security provisions, in accordance with national legislation.</p>		<p>relation to the Value of Mobility in relation to career development.</p>	<p>implemented</p>
<p>30. Access to career advice Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.</p>	<p>+</p>	<p>Imperial College London ECRs have access to career advice via:</p> <p>Postdoc and Fellows Development Centre Careers Service</p>	<p>Current Practices</p> <p>Postdoc and Fellows Development Centre Provide: courses, 1:1 support, mock interviews and networking events. PFDC Reps and PFDC Champions are encouraged to develop department specific career events for ECRs both academic and non-academic focused. The PFDC support the departments via training and resources.</p> <p>PFDC run the Pathways for Postdoc project specifically focusing of resources and support for roles beyond academia.</p> <p>ECRs are reminded three months prior to the end of their contract to contact the PFDC for support with regards their next career step.</p> <p>Careers Service Provide: courses, 1:1 support, resources for ECRs in relation to careers advice, job sectors, job searching, applications and interviews.</p> <p>Mentoring Mentoring is a widely used development tool that has proved to have a beneficial impact on effectiveness, confidence and career advancement. The College offers a range of mentoring schemes which ECRs can access.</p> <p>Imperial College Coaches The Coaching Academy was launched in 2009, it now offers coaching widely as an additional support to development for</p>

			<p>College staff.</p> <p>‘Suggested improvement (action)’ As detailed in 11. Evaluation/appraisal systems & 28. Career Development. Training for Line Managers will be part of the focus of the Task and Finish Group to be established to explore a new ECR PRDP including to increase awareness of Line Managers and PIs with regards the importance of careers advice (not solely academic career paths).</p>
<p>31. Intellectual Property Rights Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.</p>	+/-	<p>Legislation or Policy</p> <p>Intellectual Property Policy The College’s Intellectual Property (IP) policy governs the ownership and management of College IP and College’s discretionary Reward to Inventors Scheme. This policy applies to all College Employees, and extends to Associates and students.</p> <p>The College’s Intellectual Property (IP) policy was revised 6 April 2015. It is the policy governing the ownership, management and commercialisation of IP generated by staff, associates and students.</p> <p>Imperial Innovations Imperial Innovations is the technology commercialisation partner for Imperial College London</p>	<p>Current Practices</p> <p>Inventors Key Information</p> <p>Imperial Innovations Provide support and work with staff to turn their research and ideas into new businesses or technology opportunities.</p> <p>The PFDC provide specific webpages for ECRs with resources related to Enterprise and Entrepreneurship, and a course – How Intellectual Property Rights (IPR) Can Impact your Research.</p> <p>‘Suggested improvement (action)’ PFDC to develop a Pop Up with Imperial Innovations and to develop the PFDC webpages for ECRs – signposting to the Imperial Innovation support and opportunities via PFDC webpages.</p>
<p>32. Co-authorship Co-authorship should be viewed positively by institutions when</p>	+/-	<p>Legislation or Policy</p> <p>Imperial College London Research Integrity policy</p>	<p>Current practices</p> <p>Exercises and discussions on Authorship are built into PFDC</p>

<p>evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).</p>		<p>details expectations with regards authorship and co-authorship.</p> <p>Scientific Misconduct Policy details – concerns with regards gift authorship and omission of authorship.</p>	<p>courses – such as Making the Most of Your Postdoc and Managing your First Research Group.</p> <p>In addition, to this real life case studies are used as materials for discussion and reflection.</p> <p>‘Suggested improvement (action)’ PFDC to increase the variety of case studies and contributors to case studies.</p> <p>‘Suggested improvement (action)’ Colleagues within the Library, PFDC, PFDC Reps and PFDC Champions to consult with ECRs to investigate the demand for a specific workshop on Authorship/Co-authorship – ‘your rights as an author’.</p>
<p>33. Teaching Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers’ career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the</p>	<p>+/-</p>	<p>Legislation or Policy</p> <p>The opportunities and responsibilities for teaching vary depending on department at the College.</p> <p>Funders provide details in the Award Offer Letter of any restrictions on teaching or administration under the specific grant or fellowship.</p> <p>Teaching Excellence Framework (TEF) The Teaching Excellence and Student Outcomes Framework (TEF) is a national exercise, introduced by the government in England. It assesses excellence in teaching at universities and colleges, and how well they ensure excellent outcomes for their students in terms of graduate-level employment or further study. In 2017 following the first TEF assessment Imperial</p>	<p>Current practices</p> <p>Educational Development Unit (EDU) The EDU offers a broad spectrum provision that provides a needs-based and timely approach to the educational development of all who teach Imperial students. ECRs are encouraged to take part in training & skills development opportunities offered by the EDU. The EDU support staff to become Associate Fellow of the Higher Education Academy (at Higher Education Academy).</p> <p>PFDC run a workshop with the Teaching Fellowship Network to share opportunities for ECRs as Teaching Fellows in line with the Teaching Excellence Framework and the Imperial’s new Learning and Teaching Strategy.</p> <p>PFDC run a Pop Up with the Educational Development Unit (EDU) to share opportunities available to them via the EDU.</p>

<p>training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.</p>		<p>achieved The Gold Award – the highest available under the framework. This means that Imperial is judged to deliver consistently outstanding teaching, and outcomes for its students, and is of the highest quality found in the UK.</p>	
<p>34. Complaints/ appeals Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.</p>	<p>+</p>	<p>Legislation or Policy</p> <p>Dismissal, Grievance Procedures and Related Matters (Ordinance D7 - General Provisions)</p> <p>The Grievance Procedure (Ordinance D9 - Grievance Procedure)</p>	<p>Current practices</p> <p>Staff are made aware of the specific processes via the HR webpages</p> <p>The College has established the Have your say & Active Bystander initiatives to improve the working environment</p>
<p>35. Participation in decision-making bodies Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be</p>	<p>+/-</p>	<p>Legislation or Policy</p> <p>Imperials Governance Structure</p> <p>College Committee Structure</p>	<p>Current practices</p> <p>Departments have specific committees and meetings ranging from Strategy, Health and Safety to Athena SWAN. PFDC reps are encouraged to be present on these committees and/or to work closely with PFDC Champions to ensure the views of ECRs</p>

<p>represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</p>		<p>PFDC Reps Network The reps are a bridge between the PFDC and postdocs. They act as a conduit for information from and to the PFDC. The reps can influence the nature of what the PFDC offers by being involved in planning and decision-making processes via reps meetings. Each department/division should have between two to three postdoc reps, one of whom should be available to attend relevant postdoc termly meetings.</p> <p>PFDC Champions (academic staff member) The PFDC works closely with departments to ensure that the voices of postdocs and fellows are well-represented at the departmental level. Postdoc champions are integral to this effort.</p>	<p>are represented and taken into account.</p> <p>Q&A with Provost The Provost and PFDC Reps meet on an annual basis to have a Q&A Breakfast. PFDC reps collate questions from the respective ECR communities – the Provost answers and discusses the questions openly with the PFDC reps. Minutes and actions are taken and tracked by the PFDC and PFDC reps at the PFDC reps termly meeting.</p> <p>‘Suggested improvement (action)’ Ensure all PFDC reps share experiences and the variety of activities/best practice in individual departments to ensure consistency across the College.</p>
<p>Training and Development</p>			
<p>36. Relation with supervisors Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working</p>	<p>+/-</p>	<p>Legislation or Policy</p> <p>People Management Leaders, managers and supervisors are expected to undertake their role in line with the Imperial Expectations and Respect for Others ethos.</p> <p>Effective leadership and management are vital to the success of Imperial. A new leader, manager or supervisor joining the College, or recently promoted to a managerial or supervisory position, are expected to act in accordance with</p>	<p>Current practices</p> <p>ECRs are encouraged to complete the Assistant Supervisor training. Workshops are held at College level and department level for this information to be disseminated.</p> <p>‘Suggested improvement (action)’ The Assistant Supervisor is a new opportunity – ensure it is well advertised and that the demand for training is met. Track and report (to Departments) the number of postdocs who become Assistant Supervisors.</p>

<p>in accordance with agreed schedules, milestones, deliverables and/or research outputs.</p>		<p>Imperial Expectations to inspire, empower and facilitate excellent performance in the staff group they are responsible for.</p> <p>Assistant Supervisors</p> <p>The College has a new process (since Dec 2017) in which to formally recognise the valuable contribution that postdocs make towards the student supervisor partnership.</p> <p>Note that PGR training and supervisory relationships are covered in other Quality Assurance and academic Governance processes i.e. Postgraduate Research Quality Committee within the College and have not been considered as part of this HR submission (as PGRs are not considered to be members of staff).</p>	
<p>37. Supervision and managerial duties</p> <p>Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further</p>	<p>+/-</p>	<p>Legislation or Policy</p> <p>People Management</p> <p>Leaders, managers and supervisors are expected to undertake their role in line with the Imperial Expectations and Respect for Others ethos.</p> <p>Capability policy and procedure</p> <p>The College also recognises that effective leadership and management are vital to its success, and has put together New Leaders and Managers at Imperial web pages for individuals who are new to management at Imperial. The site includes support, information and signposting to help them understand and fulfil their role. There are also details of the development opportunities for managers that are</p>	<p>Current practices</p> <p>PRDP</p> <p>Senior researchers as with all staff are required to have an annual PRDP meeting.</p> <p>Staff Survey (completed in 2017)</p> <p>Faculties and Departments have developed specific staff survey action plans to tackle any areas which need further investigation or improvement how are they used to address the opinions of line management.</p> <p>Post survey the Provost and Director of Human Resources and Organisational Change run Campus Roadshows to share and receive feedback on the College level results and to advise staff on the process to feed into action plans.</p> <p>The PFDC use the staff survey results and actions plans to target opportunities for improvement for ECRs. The Head of the PFDC</p>

<p>successful development of the researchers' careers.</p>		<p>available within Imperial.</p> <p>Effective leadership and management are vital to the success of Imperial. A new leader, manager or supervisor joining the College, or recently promoted to a managerial or supervisory position, are expected to act in accordance with Imperial Expectations to inspire, empower and facilitate excellent performance in the staff group they are responsible for.</p> <p>PRDP – senior researchers as with all staff are required to have an annual PRDP meeting.</p> <p>Gap Analysis PI and ECR relationship expectations – for clarity and consistency with regards relations between line manager and ECR.</p>	<p>raises any actions or concerns with individual Heads of Departments at their annual one to one meeting.</p> <p>'Suggested improvement (action)' PI and ECR relationship expectations – to develop a guide to ensure clarity and consistency across the College with regards relations between line manager and ECR.</p> <p>'Suggested improvement (action)' To develop and utilise guidance to clarify the roles and responsibilities of leaders, managers and supervisors</p>
<p>38. Continuing Professional Development Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.</p>	<p>+/-</p>	<p>Legislation or Policy</p> <p>Capability policy Imperial College London is committed to developing and supporting staff to work effectively to meet the objectives of their roles. The College has policies, procedures and processes in place with the aim of supporting the goals of its employees. Line managers are best placed to offer one-to-one support and guidance to their staff in meeting these objectives and developing new skills.</p> <p>Learning and Development Policy The College recognises that its ability to meet its strategic objectives depends upon highly motivated and high-achieving staff. It is therefore</p>	<p>Current practices</p> <p>10 days Development Training ECRs have 10 days development training in their contracts.</p> <p>Text from ECR contract - 10 days Development Training <i>The College attaches great importance to personal development and the need for all staff to equip themselves with key skills, not only to undertake their College responsibilities effectively but as a personal benefit in relation to their longer term careers. You will therefore be required to attend at least one personal development programme as well as an induction programme during your probationary period, and a personal development programme of up to ten days in total annually thereafter.</i></p> <p>Learning and Development Centre (LDC) Provide support and resources for all staff in relation to their</p>

		<p>policy to:</p> <ul style="list-style-type: none"> • enable individuals to acquire knowledge and skills which will allow them to fulfil current responsibilities more effectively. • assist individuals to develop skills and/or gain qualifications which contribute to the achievement of agreed personal and career development goals. • support the development of teams and effective teamworking skills. • facilitate the effective integration of organisational change at faculty, department, division, or section level. <p>Personal Review and Development Plan (PRDP) The College is committed to creating a supportive, inclusive and highly motivated staff community across all disciplines, functions and activities.</p> <p>A PRDP is a conversation that focuses on the previous year's work, plans and objectives for the forthcoming year, and includes the preparation of an individual development plan. It is recommended that PRDPs take place on a regular annual cycle, in line with local requirements.</p> <p>The conversation in a PRDP is broader in focus than one-to-ones. Time should be specifically allocated to cover a review of the previous year, and to discuss and agree the specific aims and objectives for the next year, which should include details of personal and career development and aspirations.</p>	<p>personal and professional development.</p> <p>Postdoc and Fellows Development Centre (PFDC) Imperial College London has acknowledged the importance of early career researcher through the core funding of the Postdoc and Fellows Development Centre. Giving guidance and support for career development, goal setting to ensure ECRs understand their own potential career trajectory.</p> <p>The PFDC offer career development training via 1:1 support and mock interviews. Any postdoc or fellow shortlisted for a position can request a mock interview prior to their interview.</p> <p>A new post of Professional Development Consultant – started in October 2017. Uniquely funded by the three Faculties and the Vice-Provost of Research and Enterprise. The focus is the support for fellowship applicants and development programmes for existing fellows.</p> <p>See action plan for projects that are in the pipeline with regards career development for ECRs.</p> <p>ERCs have access to and are actively encouraged to make use of the services provided by all Imperial College support services. Other services at Imperial include but are not limited to Imperial Consultants and Imperial Innovations.</p>
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		<p>Imperial Expectations PRDPs support the application of Imperial Expectations. PRDPs - Celebrate achievements, Enhance performance, Help staff to develop careers and Identify individual development plans.</p>	
<p>39. Access to research training and continuous development Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, takeup and effectiveness in improving competencies, skills and employability.</p>	+	<p>Legislation or Policy</p> <p>Personal Review and Development Plan (PRDP) The College is committed to creating a supportive, inclusive and highly motivated staff community across all disciplines, functions and activities.</p> <p>A PRDP is a conversation that focuses on the previous year's work, plans and objectives for the forthcoming year, and includes the preparation of an individual development plan. It is recommended that PRDPs take place on a regular annual cycle, in line with local requirements.</p> <p>The conversation in a PRDP is broader in focus than one-to-ones. Time should be specifically allocated to cover a review of the previous year, and to discuss and agree the specific aims and objectives for the next year, which should include details of personal and career development and aspirations.</p> <p>Imperial Expectations PRDPs support the application of Imperial Expectations. PRDPs - Celebrate achievements, Enhance performance, Help staff to develop</p>	<p>Current practices</p> <p>Postdoc and Fellows Development Centre (PFDC) Imperial College London has acknowledged the importance of early career researcher (definition of ECRs at Imperial) through the core funding of the Postdoc and Fellows Development Centre. Giving guidance and support for career development, goal setting to ensure ECRs understand their own potential career trajectory.</p> <p>The PFDC offer career development training via 1:1 support and mock interviews. Any postdoc or fellow shortlisted for a position can request a mock interview prior to their interview.</p> <p>A new post of Professional Development Consultant – started in October 2017. Uniquely funded by the three Faculties and the Vice-Provost of Research and Enterprise. The focus is the support for fellowship applicants and development programmes for existing fellows.</p> <p>PFDC Reps and PFDC Champions enable the training and development needs of ECRs to be discussed at the department level and for department level requirements to be provided, evaluated and managed.</p> <p>See action plan for projects that are in the pipeline with regards career development for ECRs.</p>

		careers and Identify individual development plans.	
<p>40. Supervision Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.</p>	+/-	<p>Legislation or Policy</p> <p>People Management Leaders, managers and supervisors are expected to undertake their role in line with the Imperial Expectations and Respect for Others ethos.</p> <p>Assistant Supervisors The College has a new process in which to formally recognise the valuable contribution that postdocs make towards the student supervisor partnership.</p>	<p>Current practices</p> <p>ECRs are encouraged to complete the Assistant Supervisor training. Workshops are held at College level and department level for this information to be disseminated.</p> <p>All Line Managers are expected to play an active role in engaging with, supporting and developing their staff.</p> <p>‘Suggested improvement (action)’ Investigate the need for a specific policy outlining the Management and Development of Research Staff.</p>
Any additional issues			

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list³

OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	++	Full recruitment and selection policy published openly on the College website: http://www.imperial.ac.uk/human-resources/procedures/recruiting-staff/
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	Our recruitment and selection policy covers all positions recruited to at the College.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	++	It is a College minimum requirement for each interview panel to have at least one member trained in recruitment and selection - Existence of training programmes for OTM-R: http://www.imperial.ac.uk/staff-development/learning-and-development-centre/courses/recruitment-and-selection-training/ - Number of staff following training in OTM-R - see Action Plan for reporting action. We offer two training programmes for Imperial Staff. One is an online module covering the six essential stages of the recruitment & selection process at Imperial and has a pass mark of 75%. After staff have

³ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					<p>passed the online module they can participate in the one-day practical session (including conducting simulated interviews). This session enables participants to put into practice the principles and learning covered in the online module. The course is supported by staff from the Recruitment Hub who provide practical advice and feedback to managers as well as observing their simulated interviews.</p> <p>This training is designed for non-HR people for whom recruitment is a critical, aspect of their role</p> <p>All staff who are on recruitment panels must complete the e-Learning module before recruiting staff.</p> <p>All staff who chair recruitment panels must complete the e-Learning module and attend the 1-day practical course before recruiting staff.</p> <p>The e-Learning module must be completed as a refresher by anyone wishing to be part of a recruitment panel, and whose training (online or practical) is more than 2 years old.</p> <p>This course is a core element in the Imperial Leadership and Management Development Programme and is also open to managers and non-managers not on the Programme.</p> <p>This training is currently being refreshed and this refresh will be completed by 2019</p> <p>The College also offers training in unconscious bias. This workshop provides a non-judgmental approach aimed at understanding how unconscious bias</p>
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					operates in the workplace. Participants discover what unconscious bias is (and is not) and learn how it can undermine college goals and strategies. The workshop offers the opportunity to increase self-awareness, learn new information and get up to speed with the latest research. It also explores the Implicit Association Test and identifies actions to foster equality of opportunity and how to begin to address individual and organizational biases with confidence.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	Web-based tool for (all) the stages in the recruitment process Yes, as above, easily accessible online training and all R&S guidance is available on the College's dedicated webpages.
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	All Imperial vacancies are processed by the Recruitment Hub who ensure all positions are openly advertised and monitor each campaign to ensure it follows college policy.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	All externally open positions are advertised on the College's external facing recruitment webpages, the vast majority of positions are also advertised in external and international media.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	The vast majority of appropriate positions are also advertised in external and international media.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	Our job site contains information clearly visible and highlighted to all candidates on our approach to recruitment, the benefits that we offer, working conditions and our awards. We stress our inclusive approach towards flexible working providing candidates with information on our policies and approach. By clearly showcasing the appropriate awards the

					<p>college has received e.g. Athena AWAN, Disability Confident Employer, Stonewall, Happy to talk flexible working, GIRES and Top Employer for Working Families the college positively welcomes and encourages applications from a diverse range of candidates from across our society.</p> <p>The recruitment hub has access to a gender decoding tool which they use to assist them and recruiting managers when preparing job advertisements.</p> <p>In addition, we are currently investigating creation a campaign on LinkedIn targeted at promoting Imperial to underrepresented groups.</p> <p>Our recruitment and selection policy gives specific advice on how to attract and advertise to diverse and underrepresented groups. Departments are encouraged to form diverse search committees ensure that news of open positions reach underrepresented staff and to encourage them to apply. Departments are encouraged to 'know their pool' (keep and compares statistical data on representation) so that they can compare how successful their recruitment strategies in attracting a reflective proportion of diverse candidates.</p>
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	The College is very communicative about its working conditions, policies and benefits. Information itself and sources of further information are shared throughout the recruitment process and within recruitment material.
10. Do we have means to monitor whether the most suitable researchers apply?				++	Yes, the Recruitment Hub is a central point and via the shortlisting process data on recruitment will be recorded.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g.,	x	x		++	Yes, templates and guidance are available for all

EURAXESS) for advertising positions?					<p>recruitment material.</p> <p>In our online recruitment module which is freely available for all Imperial Staff to take. In addition, our specially created recruitment pages for our recruiting managers provides further guidance on this.</p> <p>The new recruitment hub has been actively visiting departments and holding drop in sessions for Imperial staff involved in recruitment to explain these templates and guidelines.</p> <p>Finally, all adverts are processed by the central Recruitment Hub who ensure all our adverts meet these guidelines. The recruitment hub has access to a gender decoding tool which they use to assist them and recruiting managers when preparing job advertisements.</p>
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report ⁴]	x	x		++	Yes, all elements of the 'toolkit' are included in our job adverts, job descriptions and person specifications. Or related recruitment material.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x			<p>We advertise all our roles across a variety of popular online media to ensure we receive applications from the best candidates regardless of their background</p> <p>Candidates can also sign up to our job alert service, so our system will automatically contact them when a relevant vacancy is advertising.</p> <p>All the adverts we post in Nature are automatically posted to Euraxess and we created an account last year to post roles on the site when requested by line managers</p>
14. Do we make use of other job advertising tools?	x	x		++	We advertise our positions widely, including but not

⁴ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					exclusively: LinkedIn, jobs.ac.uk, Indeed, Guardian Jobs, Milkround, search agencies, Nature, BMJ, and recruitment agencies as well as specific membership organisations such as Women in Science Engineering and CASE. We also share through networks such as JISC Mail. Candidates can also sign up to our job alert service, so our system will automatically contact them when a relevant vacancy is advertising.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ⁴⁵]	x			++	Yes. Our applicant tracking system and application form only ask for essential information required to assess a candidate. All applications are made online ensuring candidates can complete their application form at a time that is convenient for them and make use of their previous applications to Imperial. Candidates can log in and out of their application updating it as they wish and can copy and paste information from any existing electronic documents/records they already have. Candidates can also sign up to our job alert service, so our system will automatically contact them when a relevant vacancy is advertising.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) ⁴⁵]		x	x	++	Yes, and these are published on our website and enforced by HR through the recruitment process. <ul style="list-style-type: none"> •It is a College’s requirement that the Advisory Committee should be as diverse as is practicable. •The College’s Advisory Committee will comprise female membership and every possible effort is made to have members with varied backgrounds. •It is also expected that the internal committee members must have attended recruitment and selection training. It is expected also that members of the Advisory Committee will have attended the College’s unconscious bias training in addition to the more general recruitment and selection training.

17. Do we have clear rules concerning the composition of selection committees?		x	x	++	<p>Yes, we give clear guidance on and requirements for the composition of panels, including how panel members should be trained. All composition of panels are reported to HR.</p> <p>Guidance are published on our website and enforced by HR through the recruitment process.</p> <p>Panel composition is based upon ensuring we have diversity on the panel and expertise to ensure a merit-based appointment.</p>
18. Are the committees sufficiently gender-balanced?		x	x	++	<p>Our R&S guidance is explicitly clear in the benefits of having a gender balanced panel and panels are strongly encouraged to be gender balanced.</p> <ul style="list-style-type: none"> •It is the College’s requirement that the Advisory Committee should be as diverse as is practicable, with participation of external experts. •The College ensures that Advisory Committees comprise of female membership and that every possible effort is made to have members with varied backgrounds •The College holds an Athena Swan Silver Award
19. Do we have clear guidelines for selection committees which help to judge ‘merit’ in a way that leads to the best candidate being selected?			x	++	<p>This is covered in both our recruitment and selection training and in our R&S guidance, both of which give specific attention to the danger of unconscious bias.</p> <ul style="list-style-type: none"> •The College’s Advisory Committees are robust and diverse, comprising of female membership and every possible effort is made to have members with varied backgrounds. •The Advisory Committee members carry out their shortlisting and assessment and questions on the interviews based on the person specification for the

					<p>post.</p> <ul style="list-style-type: none"> •A College Consul attends all academic Advisory Committee panels. The Consuls' main purposes on the Advisory Committee panels are to ensure that all candidates are treated fairly, ensuring that the selection process is transparent and robust and that any recommended appointee is of suitable level in all respects. •The College is a proud signatory to the San-Francisco Declaration on Research Assessment (DORA), which means that in hiring and promotion decisions, we evaluate applicants on the quality of their work, not the journal impact factor where it is published. <p>For more information, see www.imperial.ac.uk/research-and-innovation/about-imperial-research/research-evaluation/ This information is published in all academic job descriptions and advertisements.</p>
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Yes, without exception
21. Do we provide adequate feedback to interviewees?		x		++	Feedback is offered to all candidates after the interview regardless of the outcome. Feedback is provided by phone call and/or email with the Recruitment Hub supporting recruiting managers to ensure this process provides feedback that candidates can use to improve their performance in future selection processes.
22. Do we have an appropriate complaints mechanism in place?		x		++	Yes, applicants can raise direct complaints directly.

Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				++	<p>The Recruitment Hub has set up several reporting metrics to support this approach.</p> <ul style="list-style-type: none"> •Candidates are invited to provide feedback on their experience. This feedback is analysed, and the results will feed into developing our processes. We are just about to undertake a review of our first 6 months of candidate feedback. •All recruiting managers are also sent a survey to complete to obtain their feedback on the recruitment process. •The new Recruitment Hub is creating MI to be shared across the college which reports on a variety of metrics to monitor our progress in this area e.g. the proportion of candidates by protected characteristics. The first reports will be produced in July 2019.