RESEARCH STAFF
CODE OF PRACTICE
2018/19

RESEARCH STAFF
CODE OF PRACTICE
2018/19

CONTENTS

> This Code was developed by the UCL Research Staff Consultative Group, with due acknowledgement to the UCL Doctoral School Code of Practice for Graduate Research Students, the University of Oxford Code of Practice for the Employment and Career Development of Research Staff, and the Institute of Cancer Research Postdoc Code of Practice.

INTRODUCTION

WELCOME TO UCL AND OUR COMMUNITY OF WORLD-LEADING RESEARCHERS

Researchers are at the heart of UCL's mission as a research-led university. We aim to offer our research staff a rewarding high-quality experience in their roles at UCL, and to assist them to develop in their roles as researchers and research leaders for various future career pathways within the academic sphere and outside. This Code of Practice is designed to facilitate these aims and to ensure that members of UCL staff in research-only roles have access to the personal and professional development they can expect from a research-intensive university, during their time with us and in preparation for future research careers on the international stage.

As a UCL researcher you will be a member of a vigorous research community enabling you to develop as an independent researcher, building networks within and beyond your primary discipline. You will be working in an environment that aspires to the highest standards of research integrity. It is important that all research staff have equal and full access to all UCL resources necessary for successful completion of their work. UCL is committed to supporting and developing all our researchers, and to celebrating the diversity of our researcher community.

This Code of Practice aims to set out what you as a member of research staff can expect from your Principal Investigator (PI)*, your department and from UCL, and what your PI and others in UCL can expect from you. It is important that you read this document carefully and keep it for reference. If you are a PI you should also read and keep it – and remind yourself periodically of its contents. The Code is designed to foster good practice within research project teams, including active support for the development of high level research and transferable skills and proactive career management. It is intended that the Code form the basis for discussion between the PI and members of staff at the inception of the project and at regular periods throughout.

The Code uses the term "research staff" to refer to staff whose primary responsibility is to conduct research and who are employed for this purpose. It is a broad category that covers a range of staff with different personal, professional and disciplinary backgrounds, differing levels of training and experience, and different career expectations and plans. Whilst the Code applies to all research staff irrespective of career stage, it is of particular relevance to those early in their careers, to those commonly termed "postdoc researchers".

The Office of the Vice Provost Research (OVPR) has overall responsibility for setting, promoting and enabling UCL's Research Strategy and works closely with the key partners at UCL who oversee research staff employment matters and training at UCL, for example Human Resources and Organisational Development (OD). UCL's central Research Staff Development Programme, organised by OD, offers development opportunities specifically designed for researchers to help you develop the generic research and personal transferable skills necessary not only for successful completion of your research work but also to equip you for your future career. You will find this bespoke programme on the OD website, alongside the general OD training programme on offer to all staff. Other opportunities are available to you both internally, for instance through the Early Career Research Networks, and outside UCL. It is up to you actively to engage with your development and seek out the opportunities that will be of value to you and your current and future positions.

The specific menu of training and other development opportunities should be discussed between you and your PI to ensure that you put together a coherent development programme that will address your needs. This should be informed by the Researcher Development Framework, the national framework developed by the sector to support the development of researchers throughout their careers, from research student to senior researcher.

My best wishes for a productive and fulfilling time at UCL.

Professor David Price
Vice-Provost (Research)

* Note that the terminology used here, e.g. PI, should be read also to refer to all direct line managers/supervisors of research staff.

GENERAL INFORMATION

SOURCES AND RESOURCES

For all aspects of the Office of the Vice-Provost's activities visit the website:
www.ucl.ac.uk/research

Human Resources (including A-Z of HR Policies and Procedures)
https://www.ucl.ac.uk/human-resources

HR Organisational Development
(including Research Staff Hub and Research Staff Development Programme)
www.ucl.ac.uk/hr/od

UCL Careers - Careers Support for Researchers
www.ucl.ac.uk/careers/specialistsupport/researchers

UCL SLMS Academic Careers Office – Careers support for clinical academic trainees
and researchers working in experimental medicine
www.ucl.ac.uk/slms/aco

Arena Centre for Research-based Teaching
www.ucl.ac.uk/teaching-learning/about-us/arena-centre

UCL Public Engagement Unit
www.ucl.ac.uk/culture/public-engagement

Vitae (National body championing researcher development)
www.vitae.ac.uk

Researcher Development Framework
www.vitae.ac.uk/vitae-publications/rdf-related/researcher-development-framework-rdf-vitae.pdf/view

Concordat to Support the Career Development of Researchers
https://www.vitae.ac.uk/policy/vitae-concordat-vitae-2011.pdf

European Charter for Researchers and a Code of Conduct
for the Recruitment of Researchers
euraxess.ec.europa.eu/jobs/charter

UUK Concordat to Support Research Integrity
www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/the-concordat-to-support-research-integrity.pdf

Open Science and its role in universities: a roadmap for cultural change
www.leru.org/publications/open-science-and-its-role-in-universities-a-roadmap-for-cultural-change

RESEARCH STRATEGY AND THE RESEARCHER COMMUNITY

UCL's Research Strategy sets out our vision for how we will support the delivery of world-class research and impact at UCL. We believe in the importance of curiosity-driven research, rooted in academic excellence and supported through strong research leadership, in order to foster and celebrate a culture of expertise that delivers benefits to our society: **www.ucl.ac.uk/research/vision-strategy**

For the individual UCL researcher, the strategy seeks to define a nurturing environment in which: your research leadership is encouraged, cherished and sustained; your expertise can be creatively linked with and enhanced by that of other disciplines; impediments to you reaching across traditional boundaries are minimised; and the impact of your work is amplified. It defines a series of mechanisms through which UCL researchers can, individually and collectively, fulfil their potential. The strategy highlights both collegiality and the nurturing of early career researchers' development as key attributes of research leadership. This Code of Practice is thus essential to the fulfilment of the Research Strategy.

This overarching strategy is supported by UCL's Research Staff Development Strategy, which seeks to support the development of UCL's research staff to fully meet the multi-faceted roles which they perform within the university. It sets out UCL's vision for all research staff to have easy access to a world-leading suite of development options and career advice which will help prepare them to excel in future roles. It includes a particular focus on early career researchers, support for whom is a priority of the UCL Research Strategy, to enable them to explore and achieve their aspirations and to develop the knowledge, skills, leadership behaviours and networks to do so, whilst also maintaining their desired work/life balance.

UCL gained the European Commission's HR Excellence in Research Award in 2013. The award recognises the systems and practices we have in place to support researchers' career and professional development in line with the Concordat to Support the Career Development of Researchers. It acknowledges alignment with the principles of the European Charter for Researchers and Code of Conduct for their Recruitment, and UCL's commitment to looking after our research staff and their development. Further details are on the HR OD website: **www.ucl.ac.uk/hr/od/resources/hr-excellence.php**

RESEARCH GOVERNANCE, INTEGRITY AND ETHICS

UCL is committed to ensuring the highest standards of integrity in all aspect of its research activities and expects that all those involved with research at UCL maintain a similar commitment. As such UCL welcomed the 2012 Universities UK Concordat to Support Research Integrity which sets out the responsibilities of funders, employers of researchers and individual researchers in respect of these commitments. UCL's research governance policies and procedures, including UCL's Code of Conduct for Research, which may be found at: **www.ucl.ac.uk/srs/governance-and-committees/resgov**

UCL's Research Integrity website acts as the living Framework for Research integrity as well as a central 'hub' pulling together information from across UCL relating to integrity and good research practice: www.ucl.ac.uk/research/integrity. This includes the 'UCL Statement on Research Integrity' which sets out the standards expected by all those involved with research at or in collaboration with UCL, including its four principles of Rigour, Honesty, Open & Transparent Communication and Care & Respect.

The policy and guidelines section of the site covers issues such as mentoring and lone and off-site working, through to research data management, open access, research misconduct, and declaration of interest and research collaboration. The ethics section focuses on research with human participants, animal research, the Human Tissue Act 2004, research outside the UK and the policy for external researchers seeking to recruit UCL staff and students. There is also guidance for researchers undertaking sensitive research, including UCL's definition of 'sensitive research'. The Research Integrity Training Framework page sets out core training expectations for research integrity at UCL. It provides a structure for basic and advanced training in generic and in discipline-specific areas, including: research methods, data protection, ethics, research data management, and related personal skills etc. The Framework is applicable to researchers across all disciplines, as well as throughout a researcher's career and so it is important to regularly refer back to the Framework.

UCL's procedure for investigating and resolving allegations of misconduct in academic research applies to all UCL staff and students in all fields of research. It sets out clearly the process by which allegations of alleged misconduct are to be investigated in a way that is thorough and fair to all parties: **www.ucl.ac.uk/srs/governance-and-committees/resgov/research-misconduct-procedure-jan-2017.pdf**

RECRUITMENT AND SELECTION PROCEDURES

Recruiting and selecting the right people is of paramount importance to the continued success of UCL. UCL has a robust and comprehensive Recruitment and Selection Policy that sets out how to recruit the best people on the basis of merit.

The Equality Act 2010 protects applicants from unlawful discrimination on the grounds of age, disability, gender identity, marriage or civil partnership, pregnancy or maternity, race, religion or belief, sex and sexual orientation. Accordingly, UCL's recruitment procedure supports fair recruitment, free from unlawful discrimination. The policy also links to information about other important legal requirements, such as Disclosure and Barring (criminal records) and right-to-work checks.

UCL's Recruitment and Selection Policy can be found on HR's website at the following address: **www.ucl.ac.uk/human-resources/recruitment-and-selection-policy**

The UCL People Managers Hub provides much information on managing people, from recruitment to when people leave: **www.ucl.ac.uk/human-resources/policies-advice/ucl-people-managers-hub**

INDUCTION AND PROBATION

It is a requirement that all new employees commence their employment at UCL with a structured induction and have a structured probationary period. Induction is intended to welcome new staff to UCL, and to provide initial training, explain required standards and set objectives for the probationary period. Probationary procedures are intended to provide a structured start for all new employees, to introduce them to the main duties and responsibilities of their post, provide initial training (some of which is mandatory) and to allow the opportunity for both the individual and the line manager to objectively assess whether or not the employee is suitable for the role. **www.ucl.ac.uk/human-resources/induction-and-probation-procedure-links**

As a minimum induction should include:

- UCL 2034 and any relevant local strategies;

- An introduction to the line manager, team, wider department;

- An introduction to UCL-wide and local policies and procedures;

- Access to buildings, equipment and systems as appropriate;

- Mandatory training requirements and information on how to find and book additional courses;

- Health and safety information;

- Information compliance training, including information security, data protection and freedom of information;

- Where to find other kinds of support.

The Provost's Welcome Event for all staff is run periodically and is important in helping new staff understand the context of UCL and the themes contained within UCL 2034: The next 20 years, UCL's highest level institutional strategy: www.ucl.ac.uk/2034. A central induction specifically for research staff is organised through HR Organisational Development to introduce new researchers to the relevant UCL services and benefits aimed at supporting them. The event also highlights key institutional and national drivers that promote research performance and support researcher career development. It is an opportunity to find out about UCL researcher-led initiatives and to hear from and meet other researchers at UCL. Details of both Provost's Welcome and the Induction for new UCL Research Staff can be found on the Organisational Development website: **www.ucl.ac.uk/hr/od/index.php**

Local induction should include discussion of this Code of Practice, of the plans and expectations of the particular project and individual researcher, and of the training and development needs and opportunities particular to each.

APPRAISAL AND PROMOTION PROCEDURES

Once staff have satisfactorily completed their probationary period, they engage in UCL's annual Appraisal, Review and Development Scheme. It enables all staff to have a clear understanding of their department's expectations of them, an opportunity for detailed discussion about their contribution to the achievement of departmental and institutional goals and, to understand how they are valued by their department. Appraisal is designed to facilitate effective two-way communication and is a key mechanism for identifying training and development needs and ensuring that they are met. Full information is on the HR website at the following address:
https://www.ucl.ac.uk/human-resources/appraisal-review-and-development-scheme

UCL believes it important that promotion procedures are transparent and fair, ensuring equality of opportunity through a rigorous process of peer review, and consistent measures of academic excellence across the whole of UCL. UCL's Academic Careers Framework is designed to support every type of academic career path at UCL, including for staff whose primary role is research. It has been specifically designed to help plan and support career

development and recognise achievements by staff and managers, for example it can be used for:

- building/assessing a case for promotion;

- preparing for appraisals;

- identifying skill gaps and development opportunities;

- discussing career trajectories;

- designing new roles and drawing up job descriptions;

- succession planning;

- considering cases for reward and recognition.

Information on the Academic Career Framework and promotions processes can be found on the HR website:
www.ucl.ac.uk/human-resources/policies-advice/academic-career-framework-and-promotions-processes

CONTRACT/FUNDING PLANNING

All researchers should be kept informed about the state of funding for their post and project, and about the likelihood of future funding or employment at the end of the present appointment. It is important to discuss these issues from the outset so that expectations are clear to both PI and researcher. Regular career planning conversations with the PI, providing a realistic and supportive assessment of future aspirations and plans, will help to ensure that research staff can build up the required experience, skills and attributes for their futures.

Departments will seek to support researchers in planning their next move after the end of their current contract/funding; they will seek to avoid redundancies where possible through forward planning and by considering, for example, further funding/new grant bids, vacancies/anticipated leavers, and local redeployment for staff. To assist departments, PIs and researchers in identifying potential funding sources for their research (including personal fellowships) and developing applications with the best possible chance of success, each School has a dedicated team of Research Coordinators/Facilitators: www.ucl.ac.uk/research/contact. The UCL Public Engagement Unit works alongside the Research Coordinators to provide advice on the increasingly important Pathways to Impact and public engagement elements of external funding applications. In addition, research staff should be encouraged to make regular use of the dedicated careers advice for research staff provided by the Careers Service (see Personal, Professional and Career Development for further details).

The PI/Head of Department will write to the staff member in advance of the possible termination of their employment contract, to invite them to a meeting to discuss whether the funding supporting the employment, or the project itself, is likely to cease and whether alternative employment is available. The formal procedure followed is set out in UCL's Termination Procedure for all UCL Employment Contracts (excluding staff covered by Statute 18):
www.ucl.ac.uk/hr/docs/termination_procedure.php

Where all avenues have been explored and no suitable alternative post can be identified and the employee faces redundancy, they will be given access to UCL's Redeployment Website: **www.ucl.ac.uk/hr/docs/redeployment.php.**

In advance of a researcher leaving a post, PI and researcher should ensure that the required records of the research (lab notebooks for example) are complete and accurate, and suitably stored. It may be useful to discuss a plan to ensure research continuity, and to develop a mutual understanding of what happens to the research after the researcher leaves. It is also good practice to discuss the PI's continuing role in advising and supporting the researcher once they have left UCL. Whilst there are no obligations, PIs should consider how they might continue to offer occasional informal advice regarding professional and career matters, or assistance in creating and sustaining professional networks for example.

DEPARTMENTAL/DIVISIONAL AND UCL STRUCTURES

PRINCIPAL INVESTIGATOR (PI)

The majority of research staff will be employed on a research grant that has a Principal Investigator (PI), the lead researcher for the project. As the Principal Investigator they take responsibility for directing the research and also for managing and developing the research staff with whom they are working. Senior research staff may themselves be PIs, in which case their line manager has responsibility for facilitating their development.

You can expect your PI/manager to:

1. Participate in the selection process and be present at your interview.

2. Introduce you to the department, its facilities and procedures, and to other relevant staff; and encourage your attendance at departmental and wider events. Induction should include discussion of this Code of Practice.

3. Advise you of the name of the Head of Department, and ensure that you know that you may contact them to discuss work matters including problems regarding your line management.

4. Advise you of key departmental/divisional and faculty staff and their roles, including the departmental/divisional manager, faculty manager, Vice-Dean Research and Faculty Dean.

5. Advise you of your local HR contacts, and ensure that you know that you may contact them in confidence to discuss work matters including problems within the department.

6. Within the first three months of employment discuss with you your career aspirations and potential career paths.

7. Discuss with you your initial needs assessment for training, and support you as your research progresses in acquiring the skills and attributes you need to perform successfully during your research programme and in your future career.

8. Arrange for you to be made familiar with the research facilities and activities at UCL and your responsibility to work to the standards set out in UCL's Research Governance Framework, and Research Integrity Framework (see above).

9. Agree with you courses in the Organisational Development Training Programmes and other departmental/Faculty courses to be taken over the full period of the research project.

10. Discuss with you the resources available, including funds from within the research grant and outside, to enable you to engage proactively in the research environment. Encourage you to play a full part in the social and intellectual life of your department, UCL and your discipline.

11. Ensure that risk assessment of laboratory and/or field-based activities has been carried out in accordance with UCL and departmental procedures and that you receive the required safety training.

12. Ensure that ethics approval has been obtained in accordance with UCL procedures.

13. Determine, in consultation with the Head of Department, whether an assignment of Intellectual Property Rights/Copyright is necessary and if so, ensure that an agreement on IPR/Copyright has been established at the outset of the project, and that you are informed of the terms of the agreement at the start.

14. Agree with you as soon as possible during your probationary period, your role, the basic structure of the research project, an appropriate research method for and a realistic plan of your particular role in the project, and any additional required development training.

15. Establish a timetable of regular meetings with you when matters relating to your work and development can be discussed.

16. Advise you of the UCL Mentoring Scheme (see section below Coaches and Mentors) and any local arrangements.

17. Discuss with you the work accomplished and revise the objectives as the work proceeds in the light of progress made and external factors (such as newly published findings).

18. Ensure that you maintain records of your research in a state which can be investigated and understood by anyone with a legitimate right to enquire.

19. Encourage you to present your work in progress from time to time, attend relevant conferences, meetings and workshops, and to consult relevant sources of information and advice inside and outside your department.

20. Keep you informed about the state of funding for their post and project, and about the likelihood of future funding or employment at the end of the current appointment.

21. Assist you in obtaining knowledge and information about career opportunities and refer you to careers guidance services in UCL and elsewhere.

22. Report to the Registrar any suspected instance of research misconduct.

HEAD OF DEPARTMENT

The Head of Department has overall responsibility for the organisation and general conduct of their department, including performance management and appraisal. The Head of Department is responsible for the management of staff of the department, including (i) training, development and career management and (ii) day-to-day management matters, such as leave of absence, sick leave, etc. They are responsible for appointing a Departmental Equal Opportunities Liaison Officer (DEOLO) and for promoting equality and diversity within the department in accordance with UCL Policy, and appointing a Departmental Safety Officer, a Departmental Environment Officer and other Nominated Persons specified by UCL Policy and requirements.

You can expect your Head of Department to:

1. Formulate and monitor the academic planning, development and performance of the department (including planning in respect of the UK higher education funding bodies' Research Excellence Framework (REF)), in consultation with staff of the department and the relevant Faculty Dean or Academic Vice-Provost.

2. Ensure that you are apprised of UCL's arrangements for research governance and the associated procedures, the main components of which include:

    • UCL's Statement on Research Integrity;

    • UCL Code of Conduct for Research;

    • Procedure for investigating and resolving allegations of misconduct in academic research;

    • Declaration of interest policy;

    • UCL's Research Governance Committee and committees reporting thereto;

    • Policy, principles and procedures for the care and treatment of human remains at UCL.

3. Agree all ethical approvals which may be required for research activities carried out by members of the Department/Division.

4. Demonstrate commitment to UCL's published Health and Safety and Environmental Sustainability Policies by making, recording and ensuring the implementation of arrangements to meet the policies and associated UCL requirements.

5. Consider, and as far as possible make provision for, teaching opportunities for researchers in departmental planning. Where opportunities are available, ensure that positions are advertised as widely as possible within the department and that recruitment is in line with UCL policy (see above, Recruitment and Selection Procedures).

6. Ensure that the Appraisal, Review and Development Scheme is undertaken for all appropriate staff of the Department; and for implementing UCL employment procedures as set out in staff handbooks.

7. Review and report annually on probationers' progress and performance in respect of academic staff, in accordance with the relevant UCL Induction and Probation Procedures.

8. Ensure that a Departmental Staff Meeting is held at least twice in each academic year.

9. In consultation, where appropriate, with the Dean of the Faculty, ensure that quality management and enhancement processes operate within the department in accordance with policies and procedures laid down in the UCL Academic Manual, and that departmentalvstaff are informed of such processes.

The full Duties and Responsibilities of Heads of Department can be found in the Academic Manual: **www.ucl.ac.uk/srs/academic-manual/policy-az/responsibilities/department-heads**

COACHES AND MENTORS

In addition to support from your PI and your Head of Department, research staff may also have the opportunity of working with a coach or a Mentor. Such support, particularly when provided by colleagues from outside the immediate departmental or faculty environment, can provide an excellent opportunity for creating and building professional networks, and for developing a breadth of understanding across disciplines. Although different in kind, both coaching and mentoring take place on a 1:1 basis, with a view to helping people to develop knowledge and skills. They both involve defining goals and outcomes, careful questioning and considerate listening to explore issues and aims. The exact role of the coach or mentor will differ depending on the nature of your role and is also likely to change over time.

Full information on coaching (on accessing both internal and external coaches), and mentoring is available via the Organisational Development website: **www.ucl.ac.uk/hr/od/coaching/index.php**

OVPR, DOCTORAL SCHOOL AND HR

The Office of the Vice-Provost Research (OVPR) is responsible for formulating and implementing UCL's Research Strategy. OVPR also provides a range of key services and support to researchers at all stages of their careers, for example: by providing an information infrastructure to support UCL's research and education through UCL Library Services; by bringing academic expertise to bear on pressing public policy challenges through the UCL Public Policy team.

On behalf of the Provost and the Vice-Provost Research, the Doctoral School oversees the environment for postdoctoral researchers at UCL (in addition to the doctoral student community). The Pro-Vice Provost of the Doctoral School chairs the Research Staff Consultative Group which oversees the development and implementation of plans for the training and career development of research staff. Researcher development in this context includes all research staff at UCL, with a specific focus on early career research staff and their personal and professional development.

UCL HR has both corporate and operational responsibilities covering the development and maintenance of employment policies and procedures, and the provision for a range of services to managers and individual members of staff. These services include recruitment contract formation, advice in relation to our policies and employment matters, remuneration, pensions, staff wellbeing and staff development.

THE RESEARCHER

Whilst members of staff employed on a research contract are guided and supported by their PIs, they are expected to take an active role in driving their own academic and intellectual advancement, for example by keeping knowledge of the field and technical skills up to date, and attending seminars and conferences. As researchers gain experience they will take an increasingly active part in formulating their own ideas and steering the direction of the research. Researchers should be proactive in seeking opportunities to raise their profile and the profile of their work; this may lead to opportunities for collaboration, further funding or career opportunities.

Whilst of particular relevance to researchers at an earlier stage in their career, all research staff are expected to:

1. Carry out your research effectively and to an adequate standard.

2. Abide by the principles and procedures set out in UCL's Research Governance Framework and UCL's Research Integrity Framework (see above).

3. Ensure that you maintain records of your research in a state which can be investigated and understood by anyone with a legitimate right to enquire.

4. Contribute to the reporting requirements of your project and department, especially those required of external funders.

5. Present and or/publish your work or findings from time to time with support and guidance from your PI.

6. Undertake ongoing skills self-assessment against the national Researcher Development Framework to assist in targeting areas for development.

7. Be proactive in seeking out developmental opportunities – such as involvement in aspects of research project and budget management, teaching, departmental and UCL committee membership and other opportunities for institutional citizenship, the preparation of research proposals, sourcing new research possibilities and funding sources.

8. Agree a timetable of regular meetings with your PI at which all matters relating to your work and your development can be discussed.

9. Be proactive in exploring and capitalising on opportunities for research collaboration.

10. Take a full and active part in the intellectual life of your department and discipline.

11. Attend the Provost's Welcome Event, Research Staff Induction event and development activities from the UCL Organisational Development Programme and other suitable development opportunities as agreed with your PI.

12. Inform your PI or Head of Department of any problems which may be interfering with your work. You should also feel free to bring any problems, including those of a social or medical nature, to their attention.

13. Report, in confidence, any forms of research misconduct should you encounter them.

LEADERSHIP AND IMPACT

Research driven by individual curiosity and imagination is central to UCL's conception of excellence and leadership. UCL expects staff to undertake research meeting international standards of excellence and to disseminate the results of that research through appropriate channels, including publication, teaching, commercialisation and engagement with policymaking and the public. Established researchers, for example PIs and later career researchers, are expected to demonstrate sustained leadership, for example through:

- contributing to the advancement of their discipline and the development of novel lines of enquiry;

- supporting the intellectual life and collegiality of their department and faculty;

- by nurturing the development of early career researchers and research students.

These are clear goals for established researchers and are reflected in the expectations of early career researchers too.

Enduring individual intellectual excellence is the prerequisite, but not the limit, of research leadership. Researchers are also encouraged to embody leadership through a variety of activities, thinking creatively and ambitiously about expanding the impact of their research, delivering greater public benefit and engaging in dialogue with communities outside academia about the direction and focus of future research. All UCL researchers are encouraged to consider how they can effectively engage beyond the university, including through open science.

The UCL Research Impact Curation & Support team (RICS), part of the Office of the Vice-Provost Research, provides information and support for UCL researchers about how to maximise, record and evaluate the impacts of their work. The RICS website provides a hub for related information and resources, and you can find links here to other key services to assist you in considering how best to maximise impact: **www.ucl.ac.uk/impact**

The UCL Public Engagement Unit exists to champion UCL's founding principle of opening up education and knowledge and at its core is the idea of two way dialogue connecting higher education research and teaching with the world outside. The team, situated within UCL Culture, provides advice, training, funding and resources to help UCL researchers listen to and engage with communities and to embed public engagement within all stages of the research cycle: **www.ucl.ac.uk/culture/public-engagement**

UCL Innovation and Enterprise is a group of specialist teams working with staff and students to encourage a spirit of enterprise, create links with the outside world and accelerate UCL's innovation and impact. UCL Innovation and Enterprise includes Business and Innovation Partnerships, Entrepreneurship, Commercial Strategy, Engagement and Communications, Planning, and Information and Project Management teams. There are also two affiliated delivery partners that are wholly-owned subsidiary companies: UCL Business (UCLB), our technology transfer business, and UCL Consultants (UCLC), which facilitates academic consultancy: **www.ucl.ac.uk/enterprise/**

UCL Public Policy, an initiative of the Vice-Provost (Research), aims to strengthen links between UCL researchers and policy professionals, and to provide specific opportunities for UCL research to engage with policy: **www.ucl.ac.uk/public-policy**

PUBLICATION AND DISSEMINATION

UCL recognises that a researcher's publications are an important currency in terms of career development within their own Institution and in the wider context of research and development work. Time for writing up results should be built into the project work load at the planning stage. Minimum expectations for publications arising from the project should be agreed at the outset through discussion with all members of the project team.

Whilst each team will probably wish to devise its own mechanisms for publishing the outputs from a particular project, teams should be encouraged to discuss the following:

- Criteria for inclusion of authors on a publication;
- Criteria for the order of authors on a publication.

UCL's expectation is that all those who have contributed to a project will receive appropriate recognition for that contribution in both publications and other forms of dissemination.

CRediT at **https://casrai.org/credit** is a high-level taxonomy, including 14 roles, that can be used to represent the roles typically played by contributors to scientific scholarly output. The roles describe each person's specific contribution to scholarly materials.

The UCL Code of Conduct for Research sets out guidance on the process of publication in section 4: **www.ucl.ac.uk/srs/governance-and-committees/resgov/code-of-conduct-research**

UCL's Research Integrity pages have useful information on publication and authorship, including links to related training resources: **www.ucl.ac.uk/research/integrity/policies-and-guidelines/publication-and-authorship**

UCL Library Services assists authors in making their work open access; where copyright permissions allow, researchers make their work fully available online via UCL Discovery which gives access to journal articles, book chapters, conference proceedings, digital web resources, theses and more, from all UCL disciplines. UCL Press publishes high-quality research and textbooks, and makes them freely available online through UCL Discovery as well. For all aspects of the work of Library Services visit their website: **www.ucl.ac.uk/library**

UCL expects researchers to go beyond compliance with open access, engaging proactively in sharing and disseminating scholarly outputs through education, public engagement, translational research, commercial and social enterprise activity, and influence on public policy and professional practice.

UCL Communications and Marketing helps researchers connect with journalists and the public. It promotes UCL research, develops and delivers media strategies, and provides advice on how to reach and work with the media: **www.ucl.ac.uk/cam**

GLOBAL ENGAGEMENT

UCL defines itself as a global university in terms of its impact, leadership and opportunities. Many of our research activities are international in nature, whether because of subject matter or through working in partnership. Individual researchers are encouraged to explore and develop a global perspective, and should be ready to capitalise on existing international relationships and forge their own links for the benefit of their research and careers, but also often as a catalyst

for wider institutional and interdisciplinary collaborations. Developing a wider perspective and increased cultural sensitivity should facilitate partnerships working at all levels as we seek to address enduring and emerging global problems.

UCL's Global Engagement Office (UCL GEO) works with colleagues across the institution to deliver UCL's Global Engagement Strategy. They provide information on UCL's international activities, partnerships, collaborations, research and events; information on sources of funding available to UCL academics wanting to develop their overseas collaborations; organise regional networks for staff interested in specific regions; and provide a toolkit for UCL academics wanting to set up or develop partnerships with organisations around the world: **www.ucl.ac.uk/global**

CROSS-DISCIPLINARITY

It is recognised that many research challenges cross disciplinary boundaries so it is important that researchers are prepared for cross-disciplinary working. All researchers are encouraged to pursue appropriate opportunities and adopt a collaborative approach in working with colleagues across disciplines, as well as engaging with and valuing the perspectives of external partners and those communities with an interest in research outcomes. Crossing boundaries requires dedication and openness on the part of our researchers; we believe that a researcher working in an environment where a wide range of advances are being made, and which can act as a source of inspiration, has greater potential to be a better researcher.

In addition to the opportunities that your research might afford you for working across disciplines and for collaborating with colleagues in other fields, UCL provides the following opportunities designed to enable researchers from across UCL to engage in developing solutions to pressing global issues. All researchers are encouraged to get involved in these activities, to develop new collaborations and benefit from development opportunities they offer particularly for early career researchers:

- UCL Grand Challenges, organised under the auspices of the Office of the Vice-Provost Research, convene and cultivate cross-disciplinary collaborations that explore joined-up solutions to matters of pressing societal concern. They also work with UCL GEO to support UCL's strategic links with major research intensive universities around the world and, jointly with UCL Culture, support researchers-led initiatives for public engagement. A significant focus of the Grand Challenges approach is bringing researchers together from diverse disciplines, aiming to support researchers to explore collaborative working with colleagues outside their areas of expertise, on the premise that solutions to the greatest challenges rarely come from one field alone: **www.ucl.ac.uk/grand-challenges**

- UCL's Research Domains are larger, cross-disciplinary research communities that span UCL and our partner organisations, fostering interaction, collaboration, and research grant generation. They bring together researchers from across UCL to share experience and perspectives, increase the impact of their research and explore the exciting range of opportunities available within and beyond UCL. Each Domain has a Career Network, with some focusing particularly on researchers in the early stages of their careers (PhDs, postdocs etc.). These Networks vary in their activity, but in general they aim to provide practical support and development opportunities for researchers, careers advice and the dissemination of information about training, funding and job opportunities: **www.ucl.ac.uk/research/domains**

TEACHING

Research staff are encouraged, as part of their professional development, to undertake a small amount of teaching should they wish to do so. Staff should discuss and agree this with their PI or Head of Department. Teaching might encompass, for example, demonstrating in laboratory classes, leading tutorial groups, presenting seminars to students, marking essays, formal or informal supervision and mentoring of students etc. This activity provides valuable teaching experience but the responsibilities must be clearly defined and the work compatible with the primary research activity. Colleagues undertaking teaching must have access to appropriate facilities to support their teaching activities, including the UCL Arena scheme described below. Requirements should be agreed in advance with the person responsible for commissioning the teaching.

Training for teaching duties is provided through UCL Arena, our professional development programme that offers a range of opportunities for developing teaching and gaining professional recognition for your educational work (UCL Arena/Higher Education Academy Fellowships). Researchers new to teaching at UCL are expected to participate in UCL Arena or, if appropriate and with the authorisation of their Head of Department, a course in another HE institution (eligible programmes will normally bear university awarded credits, or be accredited by the Higher Education Academy).

The UCL Arena programme has a number of options for researchers wishing to develop their teaching:

- UCL Arena Open is open to all staff who teach, supervise, support students' learning or lead on an area of education, no matter what their job title. The programme is accredited by the Higher Education Academy (HEA), which means that UCL can confer awards relating to teaching and leading in higher education upon its own staff. Research staff are welcome to work towards fellowship awards, which are made on the basis of applicants' successful experience of teaching, supporting students' learning or leading an aspect of education at UCL.

- The programme includes dedicated sessions for postdoctoral staff to assist in planning, designing and delivering lectures and other teaching (www.ucl.ac.uk/teaching-learning/professional-development/arena-open/postdoctoral-workshop).

- Essentials and Exchange sessions cover a range of teaching topics and outline examples of good practice.

- In collaboration with the UCL Doctoral School, there is a programme of sessions and resources designed to support colleagues supervising research students.

- Finally, UCL Arena Two is for Lecturers or Teaching Fellows on probation, who need to gain a teaching qualification in order to complete probationary requirements. Research staff with substantial responsibilities for teaching and/or supporting learning may be eligible to attend (www.ucl.ac.uk/teaching-learning/professional-development/arena-two)

UCL Arena website: **www.ucl.ac.uk/teaching-learning/professional-development**

UCL Teaching & Learning Portal – news, resources and more to help develop your teaching at UCL: **www.ucl.ac.uk/teaching-learning**

PERSONAL, PROFESSIONAL AND CAREER DEVELOPMENT

UCL recognises that high quality research depends on the development of high-level generic and transferable research skills amongst its research staff community. Personal and professional development is therefore seen as an integral part of fostering this talent. UCL also takes its role seriously in assisting research staff for prepare for and plan their next career steps, whether at UCL or outside, within the academic sphere or in research roles more widely.

Career planning should begin early in a researcher's time at UCL, and researchers and their PIs should keep plans under review to ensure that the requisite skills are acquired as they progress, including a range of skills that will allow for flexibility and adaptability. In planning their careers, researchers are encouraged to make the most of their PI's experience, but also to consult a wider pool of colleagues including Early Career Networks and the UCL Careers Service who have specialist knowledge of and provision for research staff and can advise researchers on effective CVs, application and interview techniques, as well as on possible careers and posts inside and outside academia: **www.ucl.ac.uk/careers/about/eligibility/researchers**

A great deal of learning and development will be achieved on the job, but all researchers are expected to take full advantage of the development opportunities offered to them at UCL through the Organisational Development/Research Staff Development Programme and/ or appropriate departmental courses. Within departments it is expected that opportunities for development and training will be planned into any project timetable from the start and will provide the subject of an ongoing dialogue between research staff member and PI as the needs of the project and the needs of the individual research staff member change over time. Time should be allowed for these development activities and for contact with other researchers in cognate disciplines. Opportunities should also be discussed for research staff to attend national and international conferences. All researchers should complete a minimum of three development activities per year. Within reason, Research staff should also be allowed time to pursue their own study/research including work for a higher degree or for publication.

Researchers are expected to develop or enhance skills across the domains of the Researcher Development Framework (RDF). Further information on the RDF and the programme of development opportunities organised centrally for research staff is available via the OD website: **www.ucl.ac.uk/hr/od/research-hub/index.php**

EQUALITY, DIVERSITY AND INCLUSION

UCL defines 'equality' as the absence of unjust social hierarchy such as those based on age, disability, ethnicity, gender, sexual orientation and religion, and 'diversity' as the presence of different cultural traditions and identities. We wish to foster a positive cultural climate where all staff and students can flourish, where no-one will feel compelled to conceal or play down elements of their identity for fear of stigma. We strive for UCL to be a place where people can be authentic and their unique perspective, experiences and skills seen as a valuable asset to the institution. UCL is, and will continue to be, a leading proponent of 'positive action' through, for example, working with national schemes such as the Athena SWAN Charter (women in STEM HE and research), the ECU Race Charter (representation, progression and success of

minority ethnic staff and students in HE) and Stonewall Workplace Equality Index (lesbian, gay, bi and trans inclusion in the workplace).

UCL's Equality, Diversity & Inclusion Strategy 2015-2020, action plans from each Faculty, and much important practical information and advice can be found on the Equality, Diversity & Inclusion website: **www.ucl.ac.uk/hr/equalities/index.php**

Each department has a DEOLO, a Departmental Equal Opportunity Liaison Officer, who acts as a source of related advice to staff and students: **www.ucl.ac.uk/hr/equalities/depts/equality_advisors.php**

WORK-LIFE BALANCE AND WELLBEING

UCL acknowledges that its staff are most productive when they have achieved a work-life balance that enables them to meet their responsibilities outside work. UCL's Work Life Balance policy provides a framework within which departments can consider how best to enable staff to achieve an effective balance between work and life outside the workplace. This framework incorporates UCL's statutory responsibility to consider requests for flexible working: **www.ucl.ac.uk/hr/docs/work_life_balance.php**

At research-intensive institutions such as UCL you will be working alongside high achieving colleagues and students. Whilst this is part of the excitement of the UCL environment, it makes it particularly important to have honest and supportive relationships with other researchers (particularly but not only your PI), and to cultivate the personal skills and resilience to be able to thrive in a pressured environment. Understanding the benefits of, and taking active steps to ensure your wellbeing is important for researchers.

Equally, it is important that PIs and other staff intimately involved in the management of research understand and actively support the wellbeing of their colleagues. As role models for early career researcher and embodiments of academic culture, PIs have the responsibility to foster and reflect positive cultures of wellbeing themselves; as staff of UCL and as mentors to their colleagues, they should receive adequate support for their own wellbeing too.

Launched by UCL's President and Provost in 2017, Wellbeing@UCL is the five year wellbeing strategy for the whole UCL community (staff and students). It sets out to promote and embed positive physical, mental and social health and wellbeing behaviours within our community and is supported by a range of wellbeing activities run by UCL Human Resources (Occupational Health and Wellbeing) and also locally by Wellbeing Champions. You can view the strategy and activities/contacts on UCL's Wellbeing website: **www.ucl.ac.uk/wellbeing**

HR's Occupational Health and Wellbeing team aims to provide a comprehensive occupational health service to assist in promoting physical and psychological wellbeing and prevent illness and injury arising from work activity. You can view the range of services on offer on the Occupational Health Services website: **www.ucl.ac.uk/hr/occ_health**

RESOLVING PROBLEMS AND FORMAL COMPLAINTS

From time to time staff encounter problems of an academic, administrative or other nature with which they need assistance. Most concerns are resolved informally through discussions within the department, division or faculty. Where it may be possible to resolve a problem informally, researchers normally talk to their PI in the first instance. If this approach does not resolve the issue, or it is inappropriate, the member of staff can raise the matter with their PI's Line Manager or Head of Department, their local HR Contact, a Dignity at Work Advisor (see below) or Trade Union Representative.

UCL has a formal Grievance Procedure for use in cases which cannot be resolved by discussion in this way. The UCL Staff Grievance Policy includes more information about informal resolution of issues (including mediation) and also covers the next steps where grievances cannot be resolved informally: **www.ucl.ac.uk/hr/docs/grievance.php**

UCL's Dignity at Work Statement sets out expectations around respectful behaviours, example behaviours that are unacceptable, and what to do if problems related to these requirements arise. It can be found on the Dignity at Work webpages, alongside contact details for the Dignity Work Advisors: **www.ucl.ac.uk/human-resources/equality-diversity-inclusion/dignity-work**

YOUR UNION

The University and College Union (UCU) is UCL's recognised trade union for lecturing staff, research staff, administrators, computer staff, librarians, and related staff grades, and PhD students who carry out teaching duties: **www.ucl.ac.uk/unions/UCU**

UCL UCU has a useful page specifically for research staff:
www.ucl.ac.uk/ucu/know-your-rights/research-staff

UCL also recognises two other unions: UNISON representing clerical, secretarial, manual and ancillary staff: **uclunison.wordpress.com**; and Unite (formerly Amicus)/MSF CL representing Technical staff: **www.ucl.ac.uk/~ucyuami**

RESEARCH STAFF HUB

UCL's Research Staff Hub is an online space that aims to keep researchers informed about the support and development opportunities available. The site contains information on the Research Staff Development Programme and a range of researcher networks, most of which are researcher-led and provide an excellent platform for mentoring, training, dissemination of information and good practice: **www.ucl.ac.uk/hr/od/research-hub/index.php**