



RESEARCH STAFF
CODE OF
PRACTICE 2019/20

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INTRODUCTION

Welcome

Researchers are at the heart of UCL’s mission as a research-led university. As the UCL Research Strategy states: “For the individual UCL researcher – and for those contemplating becoming one – this 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 consequences of your work can be amplified.”

Therefore, 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, and outside of, the academic sphere. 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. So, it is important that you have equal and full access to all UCL resources necessary for the successful completion of your work. UCL is committed to supporting and developing all of our researchers, and to celebrating the diversity of our researcher community.

‘Research Staff’

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”.

Purpose

This Code of Practice aims to set out what you as a member of research staff can expect from your Principal Investigator (PI)¹, your department and from UCL, and what your PI and others in UCL can expect from you. It is important that you read this

¹ Note that the terminology used here, e.g. PI, should be read also to refer to all direct line managers/supervisors of research staff.

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.

Development

The Office of the Vice Provost Research (OVPR) has overall responsibility for setting, promoting and enabling UCL's Research Strategy. To achieve this, we work 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). The Research Staff Development Programme, organised by OD, offers development opportunities specifically designed for researchers to help develop those generic research skills which form the foundation of effective research, as well as personal transferable skills necessary not only for successful completion of your research work but also to equip you for your future career. You can find information about this bespoke programme on the OD website, alongside the main Learning & Development 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)

search: UCL Research Strategy

ROLES AND ACCOUNTABILITIES

Office of the Vice-Provost Research (OVPR)

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; information and support on how to maximise, record and evaluate the impacts of your work through UCL Research Impact Curation & Support team (RICS).

search: UCL Research

The Doctoral School

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.

search: UCL Doctoral School

HR

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.

search: UCL Human Resources

Organisational Development (OD) Practice

Nestled within the OD Practice (part of HR), the newly created Innovation and Consultancy team (InCo), brings new opportunities to researchers within UCL. They are tasked with finding and addressing gaps in researcher support and development structures, to enhance the overall researcher experience. They work closely with the Learning & Development team to shape the Research Staff Development Programme (RSDP) that makes up part of UCL's learning portfolio.

search: UCL Organisational 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 spend at least ten days a year focused on your personal and professional development. Those with management responsibilities are expected to undertake management development training each year

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.

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. Arrange for you to be introduced to the department, its facilities and procedures, and to other relevant staff; as well as encouraged to attend departmental and wider events. Induction should include discussion of this Code of Practice.
3. Advise you of the name of the person whom you may contact to discuss work matters including problems regarding your line management.
4. Advise you of key departmental/divisional/institute and faculty staff and their roles, including the departmental/divisional/institute manager, Faculty Director of Operations, 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 relevant to your area of expertise and your responsibility to work to the standards set out in UCL's Research Governance Framework, and Research Integrity Framework (see below).
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.

1. 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.
2. 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.
3. Ensure that ethics approval has been obtained in accordance with UCL procedures.
4. 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.
5. 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.
6. Establish a timetable of regular meetings with you when matters relating to your work and development can be discussed.
7. Advise you of any local arrangements for coaching and mentoring.
8. 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).
9. 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.
10. 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.
11. 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.
12. Assist you in obtaining knowledge and information about career opportunities and refer you to careers guidance services in UCL and elsewhere.
13. 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.
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 Recruitment and Selection Procedures).
6. Ensure that the Appraisal, Review and Development Scheme is undertaken for all appropriate staff of the Department; and implement 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 departmental staff are informed of such processes.

The full Duties and Responsibilities of Heads of Department can be found in the Academic Manual.

RESEARCH ENVIRONMENT

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 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 Code of Conduct for Research, can be found on the UCL website.

search: UCL Research Governance

The 'UCL Statement on Research Integrity' 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. It is expected that all staff (including honorary staff), students, visitors and collaborators are aware of and adhere to both the Code of Conduct for Research and the Principles of Integrity. The Statement can be found on the Research Integrity website, which also 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.

search: UCL Research Integrity

The policy and guidelines section of the website covers issues such as research data management, open access, research misconduct, and declaration of interest and research collaboration, through to mentoring and lone and off-site working. The ethics section provides guidance on research with human participants and applying for ethical approval, the Human Tissue Act 2004, research outside the UK, animal research, 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 the 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 Training 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:

search: UCL research misconduct procedure

Safeguarding

Through the course of your research, or employment at UCL, you may come into contact with vulnerable groups. If you work in a position of trust with vulnerable people, whether on a paid or voluntary basis or as part of a placement, research project or programme of study, you must familiarise yourself with the UCL Working with Vulnerable Groups guidelines and other relevant safeguarding policies. Adhering to this guidance will help you to safeguard the people you are working with and may help you to avoid placing yourself in a situation which could be misinterpreted.

You may also be required to have disclosure and barring service checks (DBS) (see section 11 of the guidance) and may have to undertake training in safeguarding awareness.

If your research project involves working with vulnerable groups, you will require ethics approval before commencing the research. For non-NHS research studies, please visit the webpages of the UCL Research Ethics Committee and for NHS research studies, you will need to seek ethics approval via the National Research Ethics Service (NRES) or contact the Joint UCLH/UCL Biomedical Research Unit for appropriate advice.

Additional guidance should be sought locally for specific research activities, especially where working with young children or in a personal or private environment.

Any incident(s) or information which causes concern in respect of the welfare of a vulnerable person or involved in UCL activities must be reported to a UCL Safeguarding Contact. Up to date details for the relevant contact can be found under section 9 of the guidance page.

Where any concern is reported, the nominated safeguarding officer will notify the Chief Operating Officer – UCL of the nature of the concern and action taken. The Chief Operating Officer – UCL will ensure that relevant colleagues are notified, and appropriate action taken.

Any concerns, suspicions or allegations of abuse or inappropriate behaviour will be taken very seriously by UCL and responded to appropriately. This process may involve Social Services, the Police and/or the UCL Staff or Student Disciplinary procedures.

search: UCL Working with Vulnerable Groups

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.

Equality, Diversity and Inclusion

UCL defines 'equality' as the absence of unjust social hierarchy such as those based on age, disability, ethnicity, sex, 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 (addressing gender inequality), the Race Equality Charter (to improve the representation, progression and success of black and minority ethnic staff and students in HE) and the Stonewall Workplace Equality Index (to enable greater inclusion for LGBTQ staff in the workplace).

UCL's Equality, Diversity & Inclusion Strategy, action plans from each Faculty, and much important practical information and advice can be found on the Equality, Diversity & Inclusion website.

Each department has a DEOLO, a Departmental Equal Opportunity Liaison Officer, who acts as a source of related advice to staff and students.

**search: UCL EDI (Equality, Diversity & Inclusion) and
UCL DEOLO**

Bullying, Harassment and Sexual Misconduct

UCL does not tolerate unacceptable behaviour, such as bullying, harassment or sexual misconduct. Where unacceptable behaviour does exist, it can have a real impact on the working and learning environment. The 'Full Stop' campaign is designed to put an end to this, by providing information and resources to allow us to shape our culture for the better and create a supportive and inclusive environment for all.

As part of this, a new Report + Support tool has been launched to make it easier for anyone affected by any of these issues, or who is experiencing bullying or harassment from any quarter at UCL, to report anonymously or contact an advisor. You will be able to do so in a supportive environment, with the confidence that your voice will be heard and your experiences taken seriously.

**search: UCL Report + Support and
UCL Full Stop**

Sustainable research

Environmental Sustainability is the responsibility of all members of the UCL community, including research staff and persons working on UCL's behalf. The core principles of sustainability are embedded throughout UCL's strategic plans. As such, when conducting your research and interacting with the UCL estate you should be mindful of how you can maximise the environmental sustainability of your work.

search: Green UCL

Work-Life Balance and Wellbeing

UCL recognises 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.

search: UCL Annual Leave and Work Life Balance

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.

search: UCL 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.

search: UCL Occupational Health

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 who have specialist knowledge of and provision for research staff and can advise researchers on effective CVs, applications and interview techniques, as well as on possible careers and posts inside and outside academia. UCL Careers also provides opportunities for researchers to meet and network with a wide range of relevant employers.

search: UCL Careers 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 Research Staff Development Programme (RSDP) 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. In line with current best practice, all researchers should spend at least ten days a year focused on their personal and professional development.

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.

Search: UCL Learning & Development Portfolio

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. Research staff may also be appointed as a part of research student's formal supervisory team, subject to approval by the Faculty and department. You can find more details on eligibility for these roles on the HR website.

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 through UCL Arena/Higher Education Academy (HEA) Fellowships.

search: [UCL PhD Student Supervision Eligibility](#)
search: [UCL Arena for Postdoctoral Researchers](#)

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.

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.

search: UCL Impact

RESEARCH 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 workload 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.

Section 4 of the UCL Code of Conduct for Research for guidance on the publication process and UCL's Research Integrity website for useful information on publication and authorship, including links to related training resources (see Research Governance, Integrity and Ethics above).

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. In addition to hosting drop-in clinics, they also deliver bespoke training for researchers as part of the Research Staff Development Programme.

search: UCL CAM

Open Scholarship

Open Science, Scholarship and Research are a new way of understanding how knowledge can be produced, stored, evaluated and disseminated to academics, researchers and to Society at large. As such, Open Scholarship (often referred to as Open Science) embraces all areas of academic activity present in UCL. It is also an agenda which is being increasingly adopted by research funders such as the European Commission and UK Research and Innovation. For example, submissions to the

Research Excellence Framework (REF) and applications for research funding have to meet strict requirements for Open Access in order to qualify for eventual funding.

Open Scholarship covers all stages of the lifecycle in producing research and other outputs and emphasizes the need to make all these materials – journal articles, monographs, research data, open source software – freely available for others to use. Authors are also strongly encouraged to obtain ORCID IDs for themselves, as this will help identify the authorship of individual items in automated systems. Engaging in Open Scholarship also supports career development, since UCL is one of the first universities anywhere to include Open Scholarship criteria in its academic promotions framework (see Appraisal and Promotion below).

Open Scholarship is good for authors and good for Society, ensuring the maximum visibility to UCL research outputs.

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.

**search: UCL Library or
UCL Library Open Access**

Transparency in Research

UCL is committed to transparency and rigour in research across all disciplines. As far as is possible or appropriate, we expect researchers to make their approaches to research, methods, outputs and data open (noting exceptions for certain outputs such as sensitive health data).

We recognise that actions that support transparency vary considerably across disciplines and methodological approaches. Therefore, we expect researchers to pursue transparency through the most effective and appropriate means, according to the nature of their research.

This may include exploring multiple conclusions that could be drawn from evidence that has been reviewed or produced; publishing research methods, manuscripts or data; or disclosing the approach used when interpreting a text or paper. In the experimental sciences, transparency is key to promoting reproducibility in research, ensuring that findings are robust and form a solid foundation on which to build further knowledge.

search: UCL Research

PROCESSES AND PROCEDURES

Data Protection

All researchers processing personal data, must comply with the requirements of the General Data Protection Regulation (GDPR) and the UK Data Protection Act 2018, in addition to the common law duty of confidentiality and all relevant ethical requirements.

Personal data

information relating to an identified or identifiable living person

Processing

any operation – collecting, storing, using, transferring, disclosing or destroying – performed on personal data

This means that if you are collecting or accessing personal data, including re-using existing data that either identifies or could be linked to a living individual, then UCL guidance notes (see below) and GDPR applies. If you are processing truly anonymised data, then your research activity falls outside the scope of these guidelines. Note that this means the data should be completely anonymous on receipt (collection/accessing); if you have personal data but then make that personal data anonymous, that will still be a processing operation and the and GDPR and UCL guidance applies.

UCL Legal Services have produced detailed guidance on this topic.

search: UCL GDPR Guidance for Researchers

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.

The UCL People Managers Hub provides helpful information on managing people, from recruitment to when people leave.

**search: UCL Recruitment and Selection Policy and
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 probationary period. Induction is intended to welcome new staff to UCL, and to provide immediate training to allow staff to work safely and with appropriate access, 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.

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 UCL Welcome Event for all staff is run monthly. It aims to help you understand how the work you do contributes to the UCL vision and mission, gives tips on how to make the most of your time here and provides an overview of the systems and policies that are common to all employees. 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.

You can find out more about the UCL Welcome event and how to book, as well other useful resources aimed at helping you settle into your life here at UCL, via the UCL Welcome Space.

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.

**search: UCL Welcome Space and
UCL Induction and Probation**

Appraisal and Promotion

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.

UCL believes it is important that promotion procedures are transparent and fair, ensuring equality of opportunity 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 should be used for:

- Building and assessing a cases 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 Careers Framework and promotions processes can be found on the HR website.

search: Appraisal Review and Development Scheme

search: UCL 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. 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 UCL Careers (see Personal, Professional and Career Development for further details).

The staff member in question will be written to in advance of the possible termination of their employment contract and invited 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).

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.

search: UCL Termination Procedure and UCL Redeployment

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.

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:

search: UCL Grievance Procedure

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:

search: UCL Dignity at 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:

UCL UCU has a useful page specifically for research staff.

**Search: UCL UCU and
UCL UCU Research Staff**

UCL also recognises two other unions: UNISON representing clerical, secretarial, manual and ancillary staff; and Unite representing Technical staff:

Search: UCL Unison

GENERAL RESOURCES

For more information

UCL Human Resources (including A-Z of HR Policies and Procedures)

Research Staff Handbook (due for publication in the autumn of 2019)

The **Concordat** to Support the Career Development of Researchers

UUK **Concordat** to Support Research Integrity

