

## University of Chester

### HR Excellence in Research Award

#### 2 Year Review Report (December 2012 to December 2014)

##### **Evaluation process**

The evaluation began by key members of staff in the Research, Postgraduate & Knowledge Services and Human Resource Management Services updating the original action plan with achievements against goals, and review by the University's Research, Postgraduate and Knowledge Transfer Committee, who established a working group to oversee and advise on the review process. The working group consisted of: the Director of Research Policy (Chair), an Assistant Director in HRMS, two Deans of Faculty and a Professor who had previously chaired a working group on the development of research and researchers at the University.

The working group meet in order to:

- Review the updated (draft) action plan;
- Agree on mechanisms to consult with a wider researcher group;
- Review the work undertaken by the working group on the development of research and researchers; and
- Identify the strategically important areas for further investigation and discussion; and
- Finalise the action plan on behalf of Research, Postgraduate & Knowledge Transfer Committee.

Consultation with researchers (Research Assistants through to Research Fellows) was organised by Research & Knowledge Transfer Office staff with input from HRMS via circulation of the draft document to all 25 research staff, two feedback/networking meetings with these individuals (also open to their PIs/line manager), individual meetings, telephone conversations and feedback via email. 5 researchers and 4 PIs/line managers responded to the consultation.

##### **Key achievements**

There have been many achievements during the period of review, some directly linked to the HR Excellence Award action plan and others associated with a wider range of projects which might also have benefits for researchers.

##### **HR policies and procedures:**

- Revision of the University's People and Organisational Development Strategy; ([Concordat Principle 2](#), [CP3](#), [CP4](#))
- The introduction of additional researcher grades, spanning from Research Assistant (OS4) to Leading Research Fellow (OS10) which will provide a clearer career pathway for researchers; ([CP1](#), [CP2](#))
- The launch of a new annual appraisal process, the Performance Review and Development Plan, which makes specific reference to the Vitae Researcher Development Framework (RDF) to ensure it is relevant to researchers. In 2013, 57% of research staff participated in a review process (compared to 67.1% for all staff); ([CP2](#), [CP3](#), [CP4](#), [CP5](#))

- The trial of a new mentoring scheme for staff (8 participants), due for review with a view to rolling out across the University during 2015; (CP3, CP4)

#### Training, information and support

- The launch of a new 'Learning Directory' – promoting to all staff the wide range of training and development sessions available within the University, incorporating 32 sessions designed specifically for researchers and mapped to the Vitae Researcher Development Framework (RDF); (CP2, CP3, CP4)
- The development and launch of a new module on research supervision in the University's MA in Learning and Teaching in HE programme (approximately 20 participants in 2013/14) and inclusion of an introductory session on supervision in a compulsory module on the PG Certificate (a requirement for all new teaching staff) - and available more widely for continuing professional development and recognition of professional standards; (CP4)
- The continuing delivery of Staff Development Months/Weeks each year which provides a comprehensive menu of developmental workshops. In 2013/14, 60 workshops ran with 598 attendances recorded; (CP3, CP4, CP5)
- Establishing a regular (approximately termly) series of Research & Knowledge Transfer Office (R&KTO) newsletters highlighting research successes and support for researchers; (CP3, CP5)

#### Awards and recognition

- A successful institutional application for recognition via the pilot Gender Equality Mark scheme and achievement of Investors in People gold standard and liP Health and Wellbeing Award; (CP6)
- Submitted an application for institutional Athena SWAN bronze award; (CP6)

#### Enhancement projects

- The formation of the working group by Research, Postgraduate & Knowledge Transfer Committee to undertake a review of the development needs and support for research and researchers; (CP4, CP7)
- A significantly larger REF2014 submission (more than double the FTE of staff compared to RAE2008 and units increased from 10 to 16) and completion of the associated equality impact assessment; (CP2, CP6)
- Enhancements to open access arrangements for research outputs, which will benefit researcher careers over the long term. (CP3)

#### **Priorities and implementation strategy for the next 2 years**

The main priority for the next 2 years will be to focus upon sustaining and enhancing the research culture across the University at all levels. This desire is driven by the University's corporate plan to substantially increase research income, impact and PGR student numbers and will be reflected in a revised Research Strategy now that the results of REF2014 are known. We intend to manage this increasing focus on research so that it will have a beneficial effect by enhancing the perceived value and associated status of researchers. Therefore our strategy is to:

1. Gain a fuller understanding of the critical success factors for the University if it is to meet its aspirations for research – and the role that researchers will play in achieving this. This is an ongoing project for the R&KTO, involving revision of the research strategy in the light of REF results, research to understand the characteristics of successful researchers and barriers to undertaking research, and collecting

additional data e.g. via the staff satisfaction survey and new HRMS online booking system for development events to assess participation (RKTO, underway and ongoing over the long term). The rebranding of the corporate website in relation to recruitment of researchers should also make a positive contribution to enhancement of the University's visible research culture (HRMS/MRA, Spring 2015);

2. Review the effectiveness and monitoring of local research strategies through the establishment of a joint Athena SWAN/HR Excellence in Research review group (Athena SWAN Champion/Director of Research Policy, Spring 2015 and ongoing thereafter);
3. Renew efforts to promote awareness of the Concordat, action plan and support for researcher by managers (e.g. Principal Investigators, Heads of Subject etc.) and researchers themselves through the provision of targeted training sessions (HRMS, Summer 2015 to feed into Staff Development Month November 2015);
4. Continue work on the HRMS career pathways project within the University to consider how a promotions scheme might be created for researchers (and support staff), including the development of promotions criteria, and considering issues of funding. In addition, following researcher careers to create case studies as resources for the future and facilitating mentoring for researchers (HRMS, early 2016);
5. Understand how the perceptions and needs of short- and long-term research assistants might be different so that both are equally supported. This can be achieved through creating a researcher network, holding small focus groups, conducting training needs analyses and developing the marketing of appropriate training opportunities to reach the target groups (HRMS & Director of Research Policy, Spring 2015); and
6. Consolidating the QA and review mechanisms of the increasing number of people-focused award schemes in which the University participates (HR Excellence in Research, Investors in People, Gender Equality Mark, Athena SWAN etc.) to ensure that they work to mutual advantage without diluting efforts or disenfranchising any group. This might be achieved by creating a joint Self-Assessment/Review Team or Steering Group involving the Champions of each scheme (HRMS & Director of Research Policy, Spring 2015).

#### Success measures of the strategy

- Increased research income, impact and researcher (staff and PGR) numbers judged against the corporate plan targets;
- Increased participation in development and training (currently little baseline data for researchers);
- Increased satisfaction amongst researchers over the long term (currently no baseline data).

## UNIVERSITY of CHESTER

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

#### Self-audit and Implementation Strategy

#### Background

1. The Concordat to Support the Career Development of Researchers, launched in June 2008, is an agreement between the funders and employers of researchers in the UK which aims to support good management of researchers and their careers. The Concordat, together with Section 1 (postgraduate research programmes) of the QAA Code of Practice, formed the UK mechanism to deliver the objectives and requirements of the European Charter for Researchers and Code for Conduct for the Recruitment of Researchers, to which the UK higher education sector as a whole is committed. The publication of the QAA HE Quality Code, section B11 (postgraduate research programmes), in June 2012, has since replaced the QAA Code of Practice as the appropriate reference point for delivery of the objectives of the Charter and Code.

2. In the Concordat, Researchers are defined as:

“[...] individuals whose primary responsibility is to conduct research and who are employed for this purpose. It is recognised that this broad category of staffing covers a wide range of staff with different disciplinary backgrounds, levels of training, experience and responsibility, types of contract (fixed or open ended, full or part time), and different career expectations and intentions”.

The University currently employs 25 staff who meet the definition of Researcher as used by the Concordat. This figure normally varies within the range of 20-30 at any particular time, and includes 10 who might be described as ‘research assistants’, 6 ‘researchers’ and 9 more senior individuals (e.g. post-doctoral researchers or research fellows). In addition, the management of academic quality and standards for around 500 research degree students on MPhil/PhD, professional doctorates and MRes programmes is governed by the QAA Code of Practice/Quality Code.

3. The full text of the Concordat is available via the Vitae website ([www.vitae.ac.uk/vitae-publications](http://www.vitae.ac.uk/vitae-publications)). Vitae, the national organisation championing the personal, professional and career development of doctoral researchers and research staff in higher education, provide a range of briefings on the Concordat, to ensure that the needs of researchers are considered in the implementation of the actions detailed by each organisation.

4. To demonstrate its compliance with the Concordat and the European Charter and Code, the University is required to carry out a self-audit to analyse its current level of implementation of the Concordat and to produce and publish an action plan for how it will further improve the career development of research staff, through filling any gaps identified in the self-audit.

5. In November 2009, the Research and Knowledge Transfer Office and Human Resource Management Services (HRMS) completed a self-audit against the principles of the Concordat and identified those areas where the University is already compliant and those areas where additional action was required to enhance aspects of the University’s

policy and practice for the support of researchers. Given the small number of Researchers at the University, the University chose to consult them (and Principal Investigators) via the Research Forum, Research and Knowledge Transfer sub-Committee and Research Committee. The Implementation Strategy was subsequently approved by Senate in June 2010, by which time a number of the agreed actions had already begun to be implemented, and has been monitored periodically by the Research and Knowledge Office since then.

6. The updated action plan below draws upon the initial self-audit, shows where progress has been made against the first action plan and identifies new actions for enhancement and to reflect changes elsewhere in the University. The plan demonstrates the University's continued commitment to meeting the requirements of the Concordat.
7. Progress against the action plan will be monitored by a joint Athena SWAN/HR excellence in Research review group 4 times per annum (see action plan) and the implementation strategy reviewed annually by the Research, Postgraduate and Knowledge Transfer Committee, whose membership includes representation of researchers as well as senior academic managers, PIs and the research student community. The action plan has been circulated to all Researchers and comments invited.
8. The policy documents referred to in the action plan can be found by via the following links:
  - Diversity and Equality Policy (open access)  
<http://www.chester.ac.uk/sites/files/chester/Diversity%20and%20Equality%20Policy.pdf>
  - Single Equality Scheme (open access)  
<http://www.chester.ac.uk/sites/files/chester/Equality%20Objectives%202012.pdf>
  - Recruitment and Selection Policy and Procedure (intranet access required)  
[http://ganymede2.chester.ac.uk/view.php?title\\_id=81526](http://ganymede2.chester.ac.uk/view.php?title_id=81526)
  - Policy on Fixed-Term Contracts (intranet access required)  
[http://ganymede2.chester.ac.uk/view.php?title\\_id=648929](http://ganymede2.chester.ac.uk/view.php?title_id=648929)
  - Redundancy policy and procedure (intranet access required)  
[http://ganymede2.chester.ac.uk/view.php?title\\_id=80783](http://ganymede2.chester.ac.uk/view.php?title_id=80783)
  - Redeployment policy and procedure (intranet access required)  
[http://ganymede2.chester.ac.uk/view.php?title\\_id=393841](http://ganymede2.chester.ac.uk/view.php?title_id=393841)
  - Other HRMS policy documents relating to Freedom of Speech, Dignity at Work (addressing discrimination, bullying and harassment), Equal Pay, Maternity Leave, Paternity Leave, Time Off for Dependents, Flexible Working, Retirement, and Time Off for Religious Observance (intranet access required)  
[http://ganymede.chester.ac.uk/index.php?page\\_id=242909&group=2](http://ganymede.chester.ac.uk/index.php?page_id=242909&group=2)

## A. RECRUITMENT AND SELECTION

**PRINCIPLE 1** – Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Existence and implementation of institutional policies and practices for the recruitment and selection of research staff	All staff recruitment is governed by the University's Recruitment and Selection Policy and Procedure.		<ol style="list-style-type: none"> <li>1. HRMS to evaluate appointment and promotion procedures for research grade staff</li> <li>2. HRMS to work with Marketing, Recruitment &amp; Admissions on revision of the corporate website in relation to staff recruitment to increase the profile of research and researchers contribution to the University</li> </ol>
Guidance on the use of fixed-term contracts, job descriptions and grading  Research posts advertised as a fixed-term post only where there is a recorded and justifiable reason	The Policy on Fixed-Term Contracts provides guidance on the use and management of fixed-term contracts, and requires clear justifiable reasons to be given for their use. Additional guidance on the use of fixed-term and fixed-task contracts is available from HRMS, who are also able to advise on the preparation of job descriptions and role grading. Standard template job descriptions for seven researcher grades are available. Guidance on costing new researcher posts as part of external grants/contracts is provided by the Research and Knowledge Transfer (R&KT) and Finance offices.		
Provision of training in recruitment and selection for managers of researchers and interview panels	The University's recruitment and selection training is recommended for all staff who participate in interviews and is mandatory for all interview panel chairs.		
Appropriate feedback provided to unsuccessful candidates	Unsuccessful candidates are offered feedback.		
Level of pay or grade for researchers determined according to the requirements of the post and consistent with the pay and grading arrangements of the research organisation	Researcher standard job descriptions conform to HERA grading system. Any researcher post which does not follow a standard template is HERA scored prior to advertisement.		

## B. RECOGNITION AND VALUE

**PRINCIPLE 2** – Researchers are recognised and valued by their employing organisation as an essential part of their organisation’s human resources and a key component of their overall strategy to develop and deliver world-class research

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Organisational systems which are capable of supporting continuity of employment for researchers and which ensure staff development is not undermined by instability of fixed term employment contracts	<p>Prior to the end of all fixed-term contracts, consultation between managers and the member of staff explores alternatives to expiry (such as renewal, redeployment, etc.) and what assistance the University may be able provide to help mitigate the consequences of potential termination of contract.</p> <p>The University’s policies on redundancy and redeployment apply to all staff who have been employed for a period of at least 12 months.</p> <p>All relevant vacancies are circulated to Research and Knowledge Transfer administrative staff for circulation to the researcher email list.</p>	<p>The new Learning Directory, to be published by HRMS in January 2013, will specifically highlight researcher sessions within the main document. These sessions will be aligned to the Vitae Researcher Development Framework (RDF)</p> <p><u>Completed:</u> the new Learning Directory was implemented in June 2013 and expressly aligns learning interventions/workshops to the RDF framework</p>	<p>3. HRMS to establish if researcher participation rates in the 2014 PRDP and staff development opportunities are significantly different to other groups of staff and follow up with actions as appropriate</p> <p>4. HRMS to consider how the development of an online PDRP might be used to highlight the RDF and relevant sections of the Learning Directory to research staff</p>
Pay progression for researchers which is transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally	<p>Standard researcher roles provide a transparent grade structure from research assistant to research fellow level. The University’s career pathway for researchers now includes:</p> <p>OS4 – Research Assistant 1  OS5 – Research Assistant 2  OS6 – Senior Research Assistant  OS7 – Researcher 1  OS8 – Researcher 2  OS9 – Senior Researcher  OS10 – Leading Research Fellow</p>		<p>5. HRMS to extend the career pathways project to consider how a promotions scheme might be created for researchers</p> <p>6. HRMS to create</p>

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Tailored development opportunities to meet research staff profiles and needs	The University provides a wide range of staff development and training sessions open to all staff. Specific sessions have been identified and published as suitable for researchers and mapped onto the Researcher Development Framework.		researcher case studies as resources and to facilitate mentoring for researchers
Constructive use of appraisal and development reviews in supporting the development of research staff	All staff should participate in an annual review scheme, the Performance Review and Development Plan (PRDP), which was revised and implemented university wide in April 2014. This takes a more streamlined and flexible approach to the previous version. Guidelines for the review make specific reference to Vitae Researcher Development Framework and other professional standards to support discussions relating to personal and professional development. In 2013 38.1% (n = 8) out of 21 research staff participated in the annual review process; an additional 19% (n = 4) were subject to the probationary review process; the remaining 42.9% (n = 9) research staff did not participate in either review process. Data on participation rates in 2014 is being collated.		



### C. SUPPORT AND CAREER DEVELOPMENT

**PRINCIPLE 3** – Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
<p>Career development for researcher positions which is comparable to, and competitive with, other employment sectors</p> <p>Clear systems to assist researchers plan their career development</p>	<p>Career development opportunities for researchers are offered on the same basis as for all University staff. The University was awarded Investors in People Bronze status in 2012, Silver status in 2013 and Gold status in June 2014.</p> <p>All research staff review development needs and career aspirations during the annual Performance Review and Development Plan, whilst PGR students complete a Researcher Development Plan (based upon the RDF) at induction which is reviewed at least annually thereafter.</p>	<p>The new Learning Directory, to be published by HRMS in January 2013, will align development and training sessions to the Vitae Researcher Development Framework (RDF)</p> <p><u>Completed:</u> the new Learning Directory was implemented in June 2013 and now incorporates the RDF framework</p>	<p>7. HRMS to gain approval from SMT for the revised People Management Strategy and underpinning People and Organisational Development Strategy during 2015, following wider consultation, prior to university wide implementation.</p>
<p>Training for researchers to support development of communication and other professional skills, in addition to the training necessary to carry out funded projects, at all stages of research career development</p>	<p>In addition to the University-wide staff development and training programme (which includes sessions on, for example, presentation and communication skills, negotiating, team working, people and project management) a range of research and professional skills training/resources are offered by the Graduate School (e.g. writing for publication) and is open to research staff, research students and supervisors. Also researchers may attend research specific modules offered as part of degree programmes at the University.</p>	<p>HRMS to gain approval for the People and Organisational Development Strategy by September 2013 from SMT, including consultation with the common interest groups (including Unions) and relevant committees, and to lead on implementation thereafter</p> <p><u>Progress:</u> the P&amp;OD strategy was completed &amp; is now due for review.</p>	<p>8. HRMS to annually collect and analyse data on participation by researchers in the University-wide staff development and training programme to establish whether there are any apparent barriers to participation</p>
<p>Independent advice on career management</p>	<p>Independent advice is available to all staff from the University careers service.</p>		
<p>Planned induction programme for researchers, on appointment to a research post</p>	<p>All new staff participate in University, HRMS and department induction programmes.</p>		

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Availability of mentors involved in providing support and guidance for the personal and professional development of researchers	A mentor policy forms part of the vision of the new People and Organisational Development Strategy (currently being revised). Roll out of the policies is expected through 2015 according to evolving institutional priorities. A mentoring scheme is currently being piloted and is due for evaluation in March 2015.		
Active encouragement of researchers to undertake Continuing Professional Development (CPD) activity	Identification of opportunities for CPD form a key part of the Performance Review and Development Plan (PRDP) process.		

## D. SUPPORT AND CAREER DEVELOPMENT

**PRINCIPLE 4** – The importance of researchers’ personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner	All staff participate in an annual PRDP, with reviewers undertaking appropriate training.	The Graduate School is to collaborate with the LTI on revising the MALTHE modules on mentoring and supervision to form an integral part of the University’s supervisor training from September 2013.	9. The Graduate School promote supervisor training to appropriate (i.e. senior) research staff and to continue to monitor and respond to the effectiveness of research supervisor training provision
Developmental activities open to researchers to include preparation for academic practice	A range of training to support staff in preparing to undertake teaching or other academic duties are provided by departments and faculties and also through the University’s Learning and Teaching Institute (LTI), HEA-accredited, Learning and Teaching in HE programme (MALTHE) (which offers staff the opportunity to undertake modules as part of CPD as well for academic credit leading to a PG certificate, diploma or MA). The LTI also provide development opportunities for researchers outside the formal programme. A two day workshop, entitled ‘New to Teaching’ is offered twice a year and an Action Learning Group meets termly to support ongoing development for teaching and supporting learning.	<u>Completed:</u> The Graduate School has written one module for the MALTHE programme focussing on “Developing Research Supervision” and is also contributing to a further module which focusses on supervision at all levels. These were delivered for the first time during the 2013/14 academic year and continues in 2014/15.	10. The R&KTO to propose additional questions on researcher support and development for the staff satisfaction survey
Provision of suitable training and support where researchers are provided with teaching and demonstrating opportunities as part of their career development	Researchers whose role includes teaching, leadership and development of other researchers, and who have already attained Fellowship of the Higher Education Academy, are eligible to apply for recognition under the UK Professional Standards Framework for teaching and supporting learning in higher education at Senior Fellowship level.		11. HRMS with RKTO to develop and deliver targeted training sessions for PIs, Heads of Subject etc. to promote awareness of the Concordat, University support for researchers and clarify entitlements and responsibilities

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Ensure broad recognition of CPD schemes from other employing organisations	The People and Organisational Development Strategy recognises the importance of CPD and provides opportunities for all staff to undertake professional development (either within the University or at other institutions) and to apply for financial support for this from their department.		
Opportunity for researchers to have an input into policy and practice through appropriate representation at staff meetings and on committees	Membership of the Research, Postgraduate and Knowledge Transfer Committee, which reports directly to the University Senate, includes representation of researchers as well as senior academic managers. The Committee continues to include representation from the research student community.		
Mentoring arrangements for career development and enhancement	Whilst informal mentoring is facilitated at departmental level, a formal mentor policy is a new element of the People and Organisational Development Strategy. The mentoring policy will remain in draft format whilst a formal mentoring scheme is piloted amongst a small number of staff. Plans are in train to evaluate this pilot scheme in March 2015 with a view to implementing university wide across faculties/departments and various functions; the policy will be made available at an appropriate time during 2015.		

## E. RESEARCHERS' RESPONSIBILITIES

**PRINCIPLE 5** – Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Structures which enable research staff to be informed and engaged in institutional decision-making	All staff have the opportunity to attend Open Staff Meetings to put questions or concerns to SMT and all staff have the opportunity to liaise directly with SMT through the staff suggestion scheme. An email list of research staff is used regularly by the Research and Knowledge Transfer Office to circulate information on relevant developments, opportunities and vacancies. Vacancies are advertised internally to facilitate progression/development when appropriate.	<u>Action:</u> The Research and Knowledge Transfer Office and Graduate School will be introducing regular departmental e-newsletters from November 2012 to provide an update on new initiatives and to highlight the research support services offered by the University <u>Completed (and ongoing):</u> The first issue of the new RPKT Newsletter was produced in November 2012, with subsequent issues published in March 2013, June 2013, December 2013. The fifth issue was a special issue focussed on the University's submission to REF2014 (the Research Excellence Framework). The aim of the newsletter is to facilitate communication with colleagues across the University, to promote the services of the RPKT	12. The R&KTO to propose additional questions on researcher responsibilities in career development for the staff satisfaction survey  13. HRMS with the R&KTO to undertake a training needs analysis with small groups of researchers to develop targeted training sessions for researchers and line managers
Effective communication with research staff to ensure that they recognise their responsibility to: <ul style="list-style-type: none"> <li>• Develop their ability to transfer and exploit knowledge to the benefit of the University and the wider society and economy</li> <li>• Conduct and disseminate research results in an honest and ethical manner</li> <li>• Identify their own training needs and seek out opportunities for learning and development in order to further their career</li> </ul>	The Research and Knowledge Transfer Office intranet site provides access to policies, procedures and guidance relevant to researchers. All researchers are required to abide by the University's Research Governance Handbook and to participate in the annual PRDP process. Development opportunities, including Staff Development Months/Weeks are advertised/communicated to all staff on Portal (intranet).		14. RKTO to establish a Researcher Network to create opportunities for networking, discussion and feedback  15. RPKT Committee to consider whether and how information on Faculty/Department research events might

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
<p>Provision of advice and appropriate structures to equip researchers with the tools to manage their own careers</p>	<p>Independent advice on career management is available to all staff from the University careers service.</p>	<p>department and to ensure that developments within the department, University or externally relating to research and knowledge transfer are publicized. Regular updates relating to successful funding applications and projects are also included. The newsletter is produced in a printed format, circulated electronically to all staff and is available to download from the R&amp;KT pages on the Portal.</p> <p><u>Action:</u> The new Learning Directory, to be published by HRMS in January 2013, will specifically highlight researcher sessions within the main document. These sessions will be aligned to the Vitae Researcher Development Framework (RDF)</p> <p><u>Completed:</u> the new Learning Directory was implemented in June 2013 and now incorporates the RDF framework</p>	<p>be disseminated</p>

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
<p>Encourage research staff to attend appropriate training and career development courses and events</p>	<p>Identification of opportunities for training and career development form a key part of the PRDP process and the University provides a wide range of staff development and training sessions open to all staff.</p> <p>Consultation is undertaken prior to the expiry of fixed term contracts and includes consideration of the additional staff development or training which might assist the member of staff in securing further employment.</p> <p>A Staff Development and Training programme and accompanying 'Recommended Training Sessions for Researchers' document is available, highlighting those training sessions which are particularly relevant to research staff. Staff Development Weeks, which take place in March each year over a 2 week period, and Staff Development Month, which takes place each November, provides opportunities for all staff to participate in various workshops – the Learning Directory sets out a catalogue of opportunities.</p> <p>In addition, researchers have opportunities to attend/present at a wide range of internal conferences and seminars (usually free) and external events (where funds permit).</p>		

## F. DIVERSITY AND EQUALITY

**PRINCIPLE 6** – Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers

Concordat requirements	University response	2012 Actions	2014 Actions
<p>Existence and implementation of institutional policies and practices relating to diversity and equality for research staff</p> <p>Working conditions for researchers which provide flexibility and which respond flexibly to requests for changed work patterns</p> <p>Transparent equal opportunity policy at recruitment and at all subsequent career stages</p>	<p>The University's Diversity and Equality Policy relates to all staff and all aspects of the University's operation including, for example, advertisement, recruitment and selection; pay; terms and conditions of service; training and staff development; probation and promotion; and grievance and disciplinary procedures.</p> <p>The University's Single Equality Scheme addressing age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, and sexual orientation applies to all staff and students.</p> <p>Policy documents provide additional guidance relating to Freedom of Speech, Dignity and Respect (addressing discrimination, bullying and harassment), Equal Pay, Maternity Leave, Paternity Leave, Time Off for Dependents, Flexible Working, Retirement, and Time Off for Religious Observance.</p> <p>All new University policy and procedural documents are subject to an Equality Analysis process as part of the development and implementation process and key employment and other university policies have been Equality Impact Assessed.</p> <p>A dedicated section of the University intranet provides access to all equality and diversity policies and guidance.</p>	<p>The University's Women in Science group, which is led by a faculty Dean and supported by HRMS, will continue to lead on the ongoing implementation of the Athena SWAN charter.</p> <p><u>Completed (and ongoing):</u> The Athena SWAN institutional bronze award application was submitted in November 2014. The Self-Assessment Team will continue to meet with a new remit to monitor progress against the actions identified.</p>	<p>16. HRMS to liaise with the RKTO to ensure that the needs of researchers are considered in the implementation of the actions detailed in the Athena SWAN and GEM action plans</p> <p>17. Athena SWAN Champion &amp; Director of Research Policy to create a joint Self-Assessment/Review Team for Athena SWAN and HR Excellence in Research to meet 4 times per annum to review progress against actions – and consider how GEM and liP schemes might also be incorporated where appropriate</p> <p>18. HRMS to investigate the proportion of newly appointed female staff on fixed term contracts</p>
<p>Measures through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties</p>			



<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Consider participation in schemes such as the Athena SWAN Charter and other initiatives aimed at promoting diversity in research careers	The University commenced work on the Athena SWAN charter in May 2012. In April 2014 the University participated in the ECU pilot of the Gender Equality Mark (GEM) by making a successful institutional submission, and already a Women's Networking group and a female professors group have been established. Senior managers involved in the self-assessment teams of GEM and Athena SWAN are liaising to ensure the two schemes work together to enhance equality and diversity across the University, and to support an Athena SWAN bronze institutional application submitted in November 2014.		

## G. IMPLEMENTATION AND REVIEW

**PRINCIPLE 7** – The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK

<b>Concordat requirements</b>	<b>University response</b>	<b>2012 Actions</b>	<b>2014 Actions</b>
Institutional policies informed by regular review and evaluation of progress	All University policies and procedures are monitored by the relevant department and are subject to either on-going or a formal triennial review by the University Council.	The Research and Knowledge Transfer Office will seek advice from the Research, Postgraduate and Knowledge Transfer Committee by November 2012 on suitable mechanisms for monitoring the needs and experiences of researchers, e.g. via periodic focus groups with research staff, and implement the recommendation	19. R&KTO to investigate the under-representation of women amongst the University's research active academic staff and REF-eligible researchers, and make recommendations to Research, Postgraduate and Knowledge Transfer Committee to address any issues that may be identified.
Regular review of the profile, needs and experiences of research staff	<p>The profile of staff is monitored by HRMS through the annual reports of the Single Equality scheme.</p> <p>The Research, Postgraduate and Knowledge Transfer Committee have recently revised membership to include representation from research staff (i.e. those whose main function is research) and from Early Career Researchers to ensure that their needs and experiences are fully considered.</p> <p>As a consequence of the Equality Impact Assessment of REF2014, the Research and Knowledge Transfer Office are involved in a research project to understand the under-representation of women amongst the University's research active academic staff/REF-eligible researchers.</p>	<p><i>Completed:</i> The Research, Postgraduate and Knowledge Transfer Committee established a sub-group to gather information and views from both established and developing researchers which reported in May 2014. As a consequence, membership of the committee has been widened to include research staff and Early Career Researchers</p>	

## 2014 SUMMARY OF ACTIONS IDENTIFIED (new and ongoing)

Section	Action Plan 2014	Responsibility	Timeframe	Success Measure
A	1. HRMS to evaluate appointment and promotion procedures for research grade staff	HRMS	Initial evaluation August 2015 – December 2015	Report to review group December 2015
	2. Revision of the corporate website in relation to staff recruitment to increase the profile of research and researchers contribution to the University	HRMS/MRA	August 2015	Revised website
B	3. Establish if researcher participation rates in the 2014 PRDP are significantly different to other groups of staff and follow up with actions as appropriate	HRMS	January - March 2015 – and annually thereafter	Report with action plan to review group March 2015 Increased participation rates in PRDP to at least match institutional figures
	4. HRMS to consider how the development of an online PDRP might be used to highlight the RDF and relevant sections of the Learning Directory to research staff	HRMS	Development work September 2015 – March 2016 with a view to May 2016 roll- out	Updates to review group (Dec 15, Mar 16, Dec 16) Increased participation rates in development events
	5. Extend career pathways project to consider how a promotions scheme might be created for researchers	HRMS	Initial work completed December 2016	Report to SMT
	6. Create researcher case studies as resources and to facilitate mentoring for researchers	HRMS	August 2016	Creation of case studies
C	7. Gain approval from SMT for the revised People Management Strategy and underpinning People and Organisational Development Strategy during 2015, following wider consultation, prior to university wide implementation.	HRMS	December 2015	Approval of strategy Publication of revised policies
	8. Annually collect and analyse data on participation by researchers in the University-wide staff development and training programme to establish whether there are any apparent barriers to participation.	HRMS	May 2015 and annually thereafter	Attendance records showing increased participation Report to review group and RPKT Committee (May 15, May 16)

D	9. Promote supervisor training to appropriate (i.e. senior) research staff and to continue to monitor and respond to the effectiveness of research supervisor training provision	Graduate School	August 2015 – ongoing	Attendance records & feedback reported to review group (Sept 15, Sept 16)
	10. Propose additional questions on researcher support and development for the staff satisfaction survey	R&KTO	January 2015	Availability of data and report to review group
	11. Develop and deliver targeted training sessions for PIs, Heads of Subject etc. to promote awareness of the Concordat, University support for researchers and clarify entitlements and responsibilities	HRMS with RKTO	August 2015 for delivery in 2015/16 (Nov/March programmes) ongoing as necessary	Availability of training and attendance data
E	12. Propose additional questions on researcher responsibilities in career development for the staff satisfaction survey	R&KTO	January 2015	Availability of data and report to review group
	13. Undertake a training needs analysis with small groups of researchers to develop targeted training sessions for researchers and line managers	HRMS/RKTO	August 2015	New training for researchers delivered Nov 2015
	14. Establish a Researcher Network to create opportunities for networking, discussion and feedback	RKTO	December 2015	Notes of meetings, attendance etc.
	15. Consider whether and how information on Faculty/Department research events might be disseminated	RKTO	May 2015	Proposals to RPKT Committee
F	16. Ensure that the needs of researchers are considered in the implementation of the actions detailed in the Athena SWAN and GEM action plans	HRMS/ Director of Research Policy	4 meetings pa of joint review group through 2015-2016 (Sept, Dec, Mar, May)	Notes of review group mention researchers
	17. Create joint Self-Assessment/Review Team for Athena SWAN and HR Excellence in Research to meet 4 times per annum to review progress against actions – and consider how GEM and liP schemes might also be incorporated where appropriate.	Athena SWAN Champion/Director of Research Policy	March 2015	Establishment of joint team with co-operative working
	18. Investigate the equality characteristics of newly appointed staff on fixed term contracts	HRMS	To be completed December 2015	Report to Equality Forum
G	19. Investigate the under-representation of women amongst the University's research active academic staff and REF-eligible researchers, and make recommendations to Research, Postgraduate and Knowledge Transfer Committee to address any issues that may be identified.	R&KTO	September 2015-August 2016	Report to review group (Sept 16) and RPKT Committee with recommendations