



University of the West of England



# University of the West of England, Bristol. Gap Analysis and Action Plan to inform the implementation of the Concordat to Support the Career Development of Researchers

**Progress update November 2013**

**Progress update December 2015**

<b>A: RECRUITMENT AND SELECTION</b>					
<b>Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.</b>					
	<i>Clause</i>	<i>Evidence for current compliance</i>	<i>Actions</i>	<i>Lead</i>	<i>Timescale</i>
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	This is clearly set out in the <a href="#">Research Strategy for the University of the West of England</a> and is a central tenet to the <a href="#">overall strategic direction</a> of the institution.	<p>The Research Strategy for UWE is to be reviewed in 2012</p> <p><b>A new strategy for the university was published in June 2013 – <a href="#">UWE Bristol 2020</a></b></p> <p><b>A new research strategy that is aligned to the overall UWE Bristol 2020 <a href="#">has been published</a></b></p>	<a href="#">Research &amp; Knowledge Exchange Committee</a>	<p>July 2012</p> <p><b>Completed and updated in June 2013</b></p> <p><b>Agreed July 2014</b></p>

1.2	Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.	<p>Human Resources have set out the direction that UWE has taken in this area in the <a href="#">Human Resources &amp; Organisational Development Strategy (2011-2014)</a> document. It has clear goals that will be periodically assessed against both internal &amp; external quality measures.</p> <p><b>Human resources now annually publish a staffing compendium <a href="http://www1.uwe.ac.uk/aboutus/departmentsandservices/professionalservices/humanresources/uwestaffstatistics.aspx">http://www1.uwe.ac.uk/aboutus/departmentsandservices/professionalservices/humanresources/uwestaffstatistics.aspx</a></b></p>	<p>Annual progress reports on implementing the Human Resources Organisational Development Strategy will be submitted to the Human Resources Committee annually.</p> <p><b>The Organisational Development Strategy has now been incorporated into a <a href="#">work strand called Performance 2020</a></b></p> <p><b><a href="#">Data for 2013</a> will be published in February 2014</b></p> <p><b>Data for 2014 on the <a href="#">HR website</a></b></p>	<p>Human Resources Committee</p> <p><b>Helen Lloyd Wildman, <a href="#">Deputy Vice Chancellor</a> and <a href="#">Chief Operating Officer</a></b></p> <p>Human Resources</p>	<p>Annually in May</p> <p><b>Annually in February</b></p>
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	UWE Human Resources has a <a href="#">specific policy that covers the use of fixed term contracts</a> that was last update in <b>July 2014</b> .	Fixed term contracts are also reviewed as part of the University's annual planning process	<b>Debbie England, <a href="#">HR Director</a></b>	<b>Annually</b>
1.4	To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment	<p>UWE Human Resources issue specific guidance for the recruitment of all staff. Chairs of appointment panels are required to attend training before they chair a Panel.</p> <p><b>All the relevant policy, guidance documents and video training clips</b></p>	Rolling programme of staff development with respect to recruitment & selection delivered by Human Resources. <b>This training is mandatory for those chairing recruitment panels and this is monitored when panels are</b>	<p>Human Resources – Staff Development</p> <p><b>Human Resources – Operations and Internal Communications</b></p>	<p>Ongoing</p> <p><b>ongoing</b></p>

	<p>and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.</p>	<p><b>have been brought together in a new <u>Human Resources intranet site</u> in March 2012</b></p> <p>UWE also operates a dedicated Research Review and Progression Panel which meets twice a year to consider promotion applications for staff on research grades. There are clear role profiles and criteria that are considered.</p> <p>An Equality and Impact Assessment (EIA) has been carried out of the policies relating to the Research Grading Review Panel.</p>	<p><b>appointed</b></p> <p><b>Awareness raising of new HR intranet site</b></p> <p>Continuous awareness raising with staff on research grades via the Researchers' Forum</p> <p><b>The processes around the Research Review and Progression Panel (RRPP) was one of the topics of the Researchers' Forum in May 2013.</b></p> <p><b>Also the Resourcing Team in HR review the composition of panels to ensure they reflect diversity and experience</b></p> <p><b>All unsuccessful candidates are given the opportunity to have feedback on their application and interview performance</b></p>	<p>Human Resources – Operations</p> <p>Researchers' Forum Convenor</p>	<p>Bi-annually (March &amp; October)</p>
1.5	<p>The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the</p>	<p>UWE operates a pay scale for researchers in line with the National Academic Role Profiles (NARP). A clear Academic Career Pathways framework for UWE staff has been</p>	<p>To raise awareness of the career pathways and progression criteria with research staff at inductions, Researchers' Forum events</p>	<p>Human Resources – Staff Development &amp; Researchers' Forum</p>	<p>ongoing</p>

	research organisation.	<p>produced which sets out clearly the role profiles and how to progress.</p> <p><b>The academic career pathways information is now part of the <a href="#">Human Resources intranet site</a></b></p>	<p>and through line management</p> <p><b>Review how best to link to the intranet site to raise awareness of the resources available</b></p> <p><b>The University has adopted the Higher Education Role Analysis (HERA) grading scheme and all posts are subject to a job description being agreed. Grading is determined by a grading panel which comprises management and Trades Union representatives</b></p> <p><b>Reward and recognition is one of the projects in <a href="#">Performance 2020</a></b></p>		
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<b>B: RECOGNITION AND VALUE</b>					
<b>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>					
	<b><i>Clause</i></b>	<b><i>Evidence for current compliance</i></b>	<b><i>Actions</i></b>	<b><i>Lead</i></b>	<b><i>Timescale</i></b>
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether	Feedback from research staff who took part in Career in Research Online Survey (CROS) 2009 & 2011	Continued monitoring of research staff feedback from representatives, Careers in	Researchers’ Forum Planning Group	Bi-annually

	<p>they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts.</p> <p>This approach should be embedded throughout all departmental structures and systems</p>	<p>suggests that they are not treated unfairly with respect to their employment contract.</p> <p><b>UWE participated in CROS 2013 and respondents report that they are not unfairly treated</b></p>	<p>Research Online Survey and UWE staff survey</p> <p><b>A longitudinal comparison between the CROS results from 2009, 2011 and 2013 is being prepared</b></p>	<p><b>HR Excellence in Research Working Group</b></p>	<p><b>May 2014</b></p>
2.2	<p>Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.</p>	<p>The <a href="#">UWE policy with respect to the use of fixed term contracts</a> has an appendix specifically for staff on research grades in which there is clear guidance on how to reduce the number of staff on fixed term contracts.</p>	<p>Periodic (quarterly) review by Associate Deans (Research) in each of the faculties as to the nature of funding streams to support research.</p> <p><b>A Staff Changes Group chaired by the Deputy Vice Chancellor has been created to maintain an overview of new posts</b></p>	<p>Research and Knowledge Exchange Committees in Faculty.</p> <p><b>Deputy Vice Chancellor and Chief Operating Officer</b></p>	<p>Quarterly</p>
2.3	<p>Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are</p>	<p>UWE Human Resources is currently implementing its 'people + performance' scheme which seeks to address the needs of staff with respect to performance and development review. The stated goal is to reach a target of 100%</p>	<p>Monitor &amp; review proportion of completed performance and development reviews</p> <p>Development opportunities for research staff &amp; their leaders in collaboration with</p>	<p>Human Resources</p> <p>Research, Business &amp; Innovation</p>	<p>Annually in September</p> <p>2011/2012</p>

	<p>made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.</p>	<p>completion of annual performance &amp; development reviews for all staff.</p> <p><b>74.1% of UWE researchers reported they had undergone a Performance and Development Review (PDR) in CROS 2013 – Up from 55% in 2011</b></p> <p><b>CROS 2015 reveals that 84% of UWE respondents have had a Performance and Development Review in the past 2 years</b></p> <p>It has been recognised that managers of research staff need development in people management and leadership both of which are topics for workshops that are in development.</p>	<p>external training providers</p> <p><b>To continue to promote the importance of PDR in the career development of researchers at events aimed at researchers.</b></p> <p><b>The number of PDRs completed is monitored annually by the University and reviewed by the Vice Chancellor.</b></p> <p><b>A review of the PDR process has been initiated through the Performance 2020 programme and will be completed in 2016. A range of views from staff and managers will be sought to ensure that any new process meets future needs</b></p>	<p>Researchers' Forum Planning Group</p> <p><b>Human Resources – Staff Development</b></p> <p><b>Researchers' Forum</b></p> <p><b>Strategic Programme Board chaired by Deputy Vice Chancellor</b></p>	<p>Bi-annually</p> <p><b>(May and October)</b></p> <p><b>Ongoing</b></p> <p><b>Every six weeks</b></p>
2.4	<p>Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can</p>	<p>The <u>fixed term contracts policy</u> deployed at UWE makes it clear that the preferred position is to place researchers on open ended contracts where possible by utilising a number of income streams. It is possible for researchers to be funded from the Quality Related (QR) income stream to cover periods between employment contracts. Redeployment opportunities are</p>	<p>Associate Deans (Research) to continue to monitor income streams on a quarterly basis.</p>	<p>Associate Deans</p>	<p>Quarterly</p>

	be enhanced to help employers to achieve this objective.	sought for staff whose contract is being terminated.			
2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.	<p>Research grades on the UWE salary scale are in line with the national Framework Agreement. Applications for progression to Research Fellow or Senior Research Fellow are considered by the Research Review &amp; Progression Panel, which is chaired by the Deputy Vice Chancellor, Academic. Unsuccessful applicants receive feedback which includes advice on areas for further development.</p> <p>Human Resources have also produced an Academic Career Pathways framework that clearly set out what the Nationally Agreed Role Profile roles are for research grades and what support is available to researchers wishing to progress.</p>	Continue to raise awareness among research staff as to the procedures involved in making applications to the Research Review and Progression Panel.	Researchers' Forum and research staff representative networks	<p>Ongoing</p> <p><b>Achieved in May 2012 and May 2013</b></p> <p><b>Review again in May 2014</b></p>
2.6	Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in	<p>See 2.5, there is a clear progression path for researchers, the role descriptors are set out and there is a dedicated Research Review and Progression Panel that considers applications for promotion.</p> <p><b>All guidance, policies and forms relating to career progression and academic pathways have been</b></p>	<p>Improve visibility of the opportunities to progress through the Researchers' Forum &amp; Human Resources webpages.</p> <p><b>Consider how best to ensure that research staff support site links to an internal site</b></p>	<p>Research, Business &amp; Innovation</p> <p>Human Resources – Operations Team</p> <p><b>Marketing &amp; communications and IT Services</b></p>	<p>January 2012</p> <p><b>Completed in March 2012</b></p> <p><b>January 2015</b></p>

	organisational HR strategies.	<b>collated into an intranet site for Human Resources</b>	<b>that is hosted on a sharepoint site</b>		
			<b>The Learning and Development Centre, Human Resources, implement an annual programme of personal and management development which is funded by the University and can be accessed by all staff including researchers.</b>	<b>Leadership and staff development manager</b>	

<b>C: SUPPORT AND CAREER DEVELOPMENT</b>					
<b>Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.</b>					
<b>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>					
	<b><i>Clause</i></b>	<b><i>Evidence for current compliance</i></b>	<b><i>Actions</i></b>	<b><i>Lead</i></b>	<b><i>Timescale</i></b>
3.1	It is recognised that positions of permanent employment are limited in the UK research and	The Academic Career Pathways framework at UWE sets out the role profiles of all academic related roles	Continue to promote opportunities for moving between roles in the	Human Resources – Staff development, Research &	Ongoing



	<p>academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.</p>	<p>at UWE incl, teaching &amp; scholarship, research roles, management roles, knowledge exchange roles as well as teaching &amp; research roles which shows the relationship of the grade structures for each. In addition staff can see what criteria there are for moving between roles in an academic environment.</p> <p>Research staff have access to development opportunities provided by Research, Business &amp; Innovation as well as the UWE Staff Development Programme</p>	<p>institution by ensuring research managers are more aware of the Academic Career Pathways framework</p> <p><b>Research events collated in one place on events diary <a href="http://www.uwe.ac.uk/researchevents">www.uwe.ac.uk/researchevents</a></b></p> <p><b>New website created for research staff support <a href="http://www1.uwe.ac.uk/research/researchstaffsupport">www1.uwe.ac.uk/research/researchstaffsupport</a></b></p> <p><b>To further develop the research staff support site to incorporate topics such as research funding, research integrity, careers development</b></p> <p><b>New content created for research governance</b></p> <p><b>The Performance 2020 programme and the Learning 2020 programme will be reviewing career pathways for academic staff</b></p>	<p>Knowledge Exchange Executive.</p> <p><b>Graduate School and Marketing &amp; communications</b></p> <p><b>Research, Business &amp; Innovation</b></p> <p><b>Research, Business &amp; innovation in conjunction with UWE careers</b></p> <p><b>Research Governance team</b></p> <p><b>Strategic Programme Board</b></p>	<p><b>October 2013</b></p> <p><b>January 2014</b></p> <p><b>January 2015</b></p> <p><b>Completed March 2015</b></p> <p><b>July 2016</b></p>
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3.2	<p>A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.</p>	<p>The skills development programme delivered by Research, Business &amp; Innovation focus a number of their activities on the transferable nature of research skills and include courses that are designed to encourage researchers to consider how they might use those skills in different contexts.</p> <p>The Academic Career Pathways framework at UWE demonstrates how research staff can move between the various career paths within the institution.</p>	<p>To build on the alternative careers section of the development programme by involving careers specialists more.</p> <p><b>A Careers advisor with a remit for researchers has been appointed in September 2012 – Researcher Development Manager works in collaboration to provide more career oriented sessions in the skills development programme</b></p>	<p>Research, Business &amp; Innovation</p> <p><b>Graduate School</b></p>	<p>July 2012 <b>Achieved in 2013</b></p> <p><b>Annual Review of programme content in July 2014 and July 2015</b></p>
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3.3	<p>Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.</p>	<p>There is a <u>wide ranging skills development programme</u> available to researchers at UWE which has been designed to deliver workshops on many of the competency areas set out in the Researcher Development Framework. Skills development is also provided through the Researchers' Forum events.</p> <p><b>Engaged in the pilot of and taken up an institutional subscription to the Vitae Researcher Development Framework Planner for a minimum period of 3 years. Development opportunities available at UWE have been mapped to the RDF within the planner.</b></p>	<p>Continue to review the development programme from direct feedback from the courses, via the CROS and via the research staff representative network</p> <p><b>Work with Vitae to ensure that UWE researchers understand how to make best use of this planning tool within the context of professional development planning</b></p> <p><b>Schedule a workshop on the RDF planner delivered by Vitae to help UWE researchers to understand how to get the best out of the tool</b></p> <p><b>The Researchers' Forum revisits many topics on career development, e.g. balancing teaching and research roles.</b></p>	<p>Research, Business &amp; Innovation</p> <p><b>Graduate School and Researchers' Forum Planning Group</b></p> <p><b>Graduate School</b></p> <p><b>Researchers' Forum Planning Group</b></p>	<p>July 2012 <b>Completed</b></p> <p><b>Review the programme annually in July 2014 and July 2015</b></p> <p><b>Subscription began in August 2013 Review on an annual basis</b></p> <p><b>Completed June 2014</b></p> <p><b>Meets 6 times per year</b></p>
3.4	<p>All employers will wish to review how their staff can access</p>	<p>We address this topic via the <u>Researchers' Forum events</u> to</p>	<p>To review and expand the provision of opportunities to</p>	<p>Researchers' Forum Planning Group</p>	<p>July 2012 <b>Achieved in</b></p>

	professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.	provide the space to run development activities on the broader theme of career development for researchers  <b>The Vitae SW &amp; Wales hub piloted a <u>regional careers and employer engagement event in April 2012</u></b>	encourage research staff to consider broadening their career horizons  <b>To contribute to and promote the ReSEARCH careers event</b>	<b>Researchers' Forum Planning Group and UWE Careers</b>	<b>November 2012</b>  <b>June 2014</b>
3.5	Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.	Researchers are engaged on career development via the people + performance scheme.  The <u>Researchers' Forum</u> provides the opportunity for research staff to consider career development in a broader sense and to discuss those options with their peers from other subject areas as well as hear from senior researchers about their own career pathways  Researchers receive communications from <u>Vitae</u> regarding opportunities for them to engage in workshops or courses run on national basis.	Brief research managers on the researcher development framework and to encourage them to signpost staff to career professionals for advice on broader career options  <b>Send out letter to Principal Investigators/Research Managers with stakeholder briefing on the RDF</b>	Research, Business & Innovation and Human Resources – Staff Development  <b>Graduate School</b>	<b>July 2012 Achieved</b>  <b>September 2013 and again in September 2014</b>
3.6	Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that	Human Resources have been working to improve induction procedures as part of the people + performance scheme and invite newly appointed research staff to attend institutional welcome events.	Review effectiveness of institutional welcome fairs via evaluation of each event. Monitor feedback from research staff regarding their perspective of induction via CROS and research staff representative network.	Human Resources – Staff Development  Researchers' Forum	September 2012  September 2012

	<p>research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.</p>	<p><b>Human Resources now run 4 welcome fair events for new starters each year. 30% of UWE researchers stated that a institution-wide induction was not offered in CROS 2013</b></p> <p><b>37% CROS 2015 respondents stated they had not been offered an institutional induction</b></p> <p>Inductions and introductions to the local workplace are organised by Research Centres and/or Departments and all managers are provided with an induction checklist to complete In addition the new probation scheme will require managers and new researchers to formulate a CPD action plan at the initial probation meeting.</p>	<p>All staff are invited to attend the Welcome Fair that is offered quarterly to all new starters. Researchers therefore attend this event with other UWE staff. Feedback is reviewed regularly to make sure that this remains relevant and useful. A review is underway (Dec 15) to update the content for 2016. In addition researchers are also invited to have a 'stand' at the Fair demonstrating an aspect of UWE research in order to raise awareness for all.</p> <p>A new on line induction has been launched in 2015 to give staff access to a large amount of information about the University in an accessible format. The feedback since the launch has been very positive <a href="http://imp.uwe.ac.uk/imp_public/displayentry.asp?urn=10699&amp;rp=listcategory.asp&amp;cat=1052">HTTP://IMP.UWE.AC.UK/IMP_PUBLIC/DISPLAYENTRY.ASP?URN=10699&amp;RP=LISTCATEGORY.ASP&amp;CAT=1052</a></p>	<p>Human Resources operations</p> <p>Learning and Development Centre</p>	<p>September 2014</p> <p>July 2016</p>
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			<b>To ensure that PIs and/or research managers are made aware of the existence and frequency of the welcome fairs</b>		
3.7	Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.	<p>The Academic Career Pathways framework sets out the role profiles containing the descriptors or responsibilities at each grade and provides information on how to progress.</p> <p><b><u>The Researcher Development Framework is being rolled out to all researchers with the skills development programme</u></b> being mapped to it.</p>	<p>Use the researcher development framework to audit the skills development offering across the whole institution.</p> <p><b>Increase the proportion of UWE research staff using the Vitae RDF Planner from 10% currently to 50%</b></p> <p><b>Of the UWE users of the RDF Planner, 30% are staff with the remainder being doctoral students</b></p>	<p>Human Resources</p> <p>Research, Business &amp; Innovation</p> <p><b>Researchers' Forum Planning Group</b></p>	<p>July 2012</p> <p>July 2012</p> <p><b>August 2015</b></p>
3.8	Employers also should provide a specific research career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers	<p>The <u>skills development programme</u> offered by Research, Business &amp; Innovation is open to all researchers.</p> <p>UWE operates a mentoring scheme for all academic staff.</p> <p>A mentoring scheme for female researchers will be launched in December 2011. This aims to improve career progression for</p>	<p>Monitor how many research staff utilise mentor scheme</p>	<p>Research, Business &amp; Innovation</p>	<p>January 2013</p>

	should be familiar with such provisions and arrangements.	female researchers at UWE.  <b>The <u>Women Researchers Mentoring Scheme</u> was piloted through 2012 and rolled out in 2013</b>  <b>This is an annual scheme that is supported and monitored by Research, Business &amp; innovation</b>	<b>Monitor feedback from mentors/mentees in the scheme</b>	<b>WRMS co-ordinator (Research, Business &amp; Innovation)</b>	<b>April 2014</b>
3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.	The roll out of the people + performance scheme at UWE included mandatory training for all line managers in the operation of performance development reviews and one to one meetings. The focus of the performance development review is to engage in professional development activities in areas discussed between manager and staff member.  Research staff are also encouraged directly by Research, Business & Innovation to attend skills development activities via e-mail advertisements, especially via the Researchers' Forum.	Monitor the effectiveness of the people + performance scheme with research staff.  Monitor uptake of research staff to the opportunities provided.	Human Resources  Research, Business & Innovation	Annually  September 2012 <b>Achieved for <u>submission to Athena Swan</u></b>
		<b>The use of a Client Relationship</b>	<b>Redesign the registration</b>	<b>Research, Business</b>	<b>May 2014</b>

		<b>Management (CRM) database has helped us maintain records of who has attended events and workshops offered by Research, Business &amp; Innovation</b>	<b>form used in the events listing (that integrates with the CRM database) to capture departmental information about participants</b>	<b>&amp; Innovation and IT Services</b>	
3.10	Researchers should be empowered by having realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.	See 3.9	Continue to review the number of research staff engaging in the performance and development review process	Human Resources	Annually
3.11	Employers will wish to ensure that development activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not duly disadvantaged when moving from one employer to another.	Research staff are offered access to development opportunities in <u>teaching and learning</u> and preparing for leading research teams  <b>The introductory Postgraduate Certificate in Teaching and Learning is available for staff who are responsible for delivering some teaching as part of their role.</b>	Review the development programme to ensure that all the aspects of researcher development framework are offered.  <b>This is now under the auspices of the <u>Learning 2020 strategic programme</u></b>	Human Resources and Research, Business & Innovation  <b>Deputy Vice Chancellor (Academic)</b>	September 2012  <b>July 2016</b>



		<b>Completion leads to the award of Associate Fellow, Higher Education Academy</b>			
3.12	Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.	See 3.11. Also see the profiles for Research Associate, Research Fellow & Senior Research Fellow <b>Role profiles and career pathways integrated into intranet site</b>	Review the feedback from research staff via CROS  <b>Ensure researchers know where to find this information</b>	Research, Business & Innovation  <b>Human resources</b>	July 2012  <b>January 2014 reviewed every 6 months</b>
3.13	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation and management committees.	The <a href="#">Researchers' Forum</a> is one of the main research staff representative channels. The planning group is comprised of research staff representatives & staff from relevant professional services and is convened by one of the Associate Deans (Research) who directly reports into the Research and Knowledge Exchange Executive.	Continue to formalise the relationship of the Researchers' Forum with the Research and Knowledge Exchange Executive	Researchers' Forum Convenor	July 2012 <b>Achieved</b>
3.14	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	A mentoring scheme is offered to all UWE staff. See also 3.8	Review whether the mentoring scheme can be enhanced	Human Resources	December 2012

#### **D: RESEARCHERS' RESPONSIBILITIES**

**Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.**

	<i>Clause</i>	<i>Evidence for current compliance</i>	<i>Actions</i>	<i>Lead</i>	<i>Timescale</i>
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	<p><u>The standards expected of all Researchers</u> are clearly set out on the advice provided by Research, Business &amp; Innovation.</p> <p><b>The University Ethics Committee have created a new website to support researchers through applying for ethical approval</b></p>	<p>To ensure that awareness of where to access this information is maintained through induction and the Researchers' Forum</p> <p><b>Raise awareness of this support to all researchers through skills development programme</b></p>	<p>Research, Business &amp; Innovation</p> <p><b>Researcher Development Manager/ Researchers' Forum</b></p>	<p>September 2012 <b>Achieved in in October 2013</b></p> <p><b>February 2014</b></p>
5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.	<p>Research, Business &amp; Innovation offer tailored support to researchers on <u>technology transfer</u> and other forms of knowledge exchange.</p> <p><b>Include information about the services that Research, Business &amp; Innovation offer at UWE Welcome fairs</b></p>	<p>To ensure that awareness of where to access this information is maintained through induction and the Researchers' Forum</p> <p><b>Monitor feedback from attendees at Welcome fairs to check appropriateness of information supplied</b></p>	<p>Research, Business &amp; Innovation</p> <p><b>Learning and development centre</b></p>	<p>December 2012</p> <p><b>February 2015</b></p>
5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge	<p><u>Specific processes relating to ethics and governance</u> are comprehensively laid out including UWE code of practices for the conduct of research</p> <p><b>Research, Business &amp; Innovation reviewed the institutional support for research governance and ethics</b></p>	<p>To ensure that awareness of where to access this information is maintained through induction and the Researchers' Forum</p> <p><b>Appoint a Research Governance Manager to oversee the development and dissemination of good practice with respect to</b></p>	<p>Research, Business &amp; Innovation + Faculty Research Committees</p> <p><b>Research, Business &amp; Innovation</b></p>	<p>December 2012</p> <p><b>January 2014</b></p>

			<p><b>research integrity</b></p> <p><b>Completed with the appointments of a Research Governance Manager and Officer to oversee the implementation of the Concordat to Support Research Integrity</b></p>	<p><b>Ros Rouse, Research Governance Manager</b></p>	<p><b>October 2014</b></p>
5.4	<p>Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.</p>	<p>The Academic Career Pathways framework has this information clearly laid out as well as the criteria for progressing through the grades</p>	<p>Continue to raise awareness of the Academic Career Pathways and the Research Review and Progression Panel with research staff</p>	<p>Human Resources</p>	<p>July 2012 <b>Achieved in May 2012 Review in February 2015</b></p>
5.5	<p>Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their</p>	<p>The emphasis on proactivity by researchers regarding their own career development opportunities is one of the overarching themes of the Researchers' Forum.</p> <p><b>This was included in the <a href="#">themes of the Researchers' Forum in May 2012 and May 2013</a></b></p>	<p>Consider other mechanisms of encouraging research staff to be proactive in seeking out career development opportunities that are congruent with their aspirations.</p> <p><b>To use the outcomes of CROS 2013 to plan the next 3 Researchers' Forum topics in consultation with the Research Staff representatives</b></p>	<p>Researchers' Forum</p> <p><b>Researchers' Forum Planning Group</b></p>	<p>September 2012 <b>Ongoing activity</b></p> <p><b>March 2014, October 2014 and March 2015</b></p>

	supervision to attend appropriate training and career development courses and events.				
5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.	<p>Career development requirements are an integral part of the Performance and Development Review process.</p> <p><b>74.1% of UWE Researchers who responded to CROS 2013 have had a PDR up from 55% in 2011</b></p> <p><b>50% of respondents who have had the PDR rated it either useful or very useful in helping with career planning</b></p>	<p>To consider how to embed the principle of time allotted to career development activity within a researchers' contract of employment</p> <p><b>To increase the proportion of researchers who have had a PDR to 85% in CROS 2015</b></p> <p><b>CROS 2015 indicated that 84% of researchers had a Performance &amp; Development Review (PDR)</b></p>	<p>Researchers' Forum</p> <p>Human Resources and Performance 2020 strategic programme board review</p>	<p>May 2012 <b>Ongoing review from staff surveys and CROS</b></p> <p>June 2015</p> <p>Completed June 2015</p>

<b>E: DIVERSITY AND EQUALITY</b>					
<b>Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.</b>					
	<i>Clause</i>	<i>Evidence for current compliance</i>	<i>Actions</i>	<i>Lead</i>	<i>Timescale</i>
6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality,	Human Resources have comprehensive information on all matters relating to <u>equality &amp; diversity</u> and require an Equality Impact Assessment to be undertaken of policies and procedures, including	Review staff perceptions of the equality and diversity strategy at UWE via staff survey, CROS and through feedback from the staff network groups.	Human Resources	December 2012 <b>Actioned</b>

	<p>based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.</p>	<p>recruitment, promotion and Research Strategy.</p> <p><b>Complete redesign of information relating to Equality and Diversity and the launch of a <u>Single Equality Scheme</u></b></p> <p><b>UWE first submitted an entry to Stonewall in 2010. UWE has performed well in ensuring we are an inclusive organisation, UWE placed 35<sup>th</sup> in the <u>2014 workplace equality index</u></b></p> <p><b>In 2015, UWE was ranked number 11 in the top 100 and the highest placed university</b></p> <p><b>The University has also committed to work towards achieving the Race Equality Charter Mark</b></p>	<p><b>Continue to monitor and improve performance in this area</b></p> <p><b>Target is to be highest placed university in the Top 100 Employers – achieved</b></p> <p><b>The programmes of work that encompass <u>equality and diversity at UWE</u> are all found on dedicated webpages</b></p>	<p><b>Equality and diversity unit (Human Resources)</b></p> <p><b>Equality and diversity unit (Human Resources)</b></p>	<p><b>Completed December 2013</b></p> <p><b>January 2015</b></p>
6.2	<p>As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.</p>	<p>The recruitment policy operated is compliant with the relevant legislation and has <u>been assessed for its equality impact</u>. This has been published on the University intranet.</p>	<p>Update Equality Impact Assessment as required</p>	<p>Human Resources</p>	<p>December 2012</p> <p><b>Completed in March 2011</b></p>
6.3	<p>It should be emphasised that the</p>	<p>See above. Equality and diversity</p>	<p>Continue to monitor research</p>	<p>Human Resources</p>	<p>December</p>

	<p>demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.</p>	<p>data are monitored by the institution in <a href="#">consultation with relevant staff network groups</a> representing each equality group</p>	<p>staff as a group with respect to equality &amp; diversity measures. Equality data is also published annually by the University.</p> <p><b>Perform an Equality analysis on the faculty UWE 2020 implementation plans</b></p>	<p>Research, Business &amp; Innovation (Research Strategy Equality Impact Assessment Group)</p>	<p>2012 <b>Ongoing</b></p> <p><b>May 2015</b></p>
6.4	<p>Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.</p>	<p>Flexible working arrangements are in place for all staff including research staff. <a href="#">More info can be found here</a> The University also has a flexible working policy which is published by Human Resources.</p>	<p>None required</p>		
6.5	<p>It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the</p>	<p>See 6.4</p>	<p>None required</p>		

	assumption that, because research has always been carried out in a particular way, it cannot be done differently				
6.6	Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.	Arrangements are in place with the main funders of research to cover periods of parental leave in line with national legislation.	None required		
6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given	Gender, ethnicity and disability equality targets are monitored annually and reported to the <a href="#">Equality &amp; Diversity Forum</a> .  <b><u>Publish our target KPIs in our Single Equality Scheme</u></b>  Equality related information is published annually in the <a href="#">University Staffing Compendium</a> .	Ongoing monitoring  <b>To increase female staff in top 5% of earners from 35% currently to 50% by 2015</b>	Equality & Diversity Forum  <b>HR Director (Debbie England)</b>	December 2012 <b>Completed annually</b>  <b>December 2015</b>

	level should reflect the percentage in the available pool at the level immediately below.				
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups	One to one meetings with managers should pick up changes in personal circumstances. HR is involved in the work related to the Researchers Forum where such issues may also be identified. <b>Any issues are raised and discussed at the RRPP as appropriate to determine the approach to be taken and any further support needed</b>	None required		
6.9	All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.	The University has a <a href="#">Dignity at Work</a> policy which all staff and managers are expected to implement. There are also University Dignity at Work Advisers available to support staff and managers.	None required		
6.10	Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in	UWE are currently not members of the Athena SWAN Charter.	To investigate how to support the participation of schemes to promote diversity in research degrees across all subject groups at UWE	Human Resources	September 2012 <b>Completed in May 2012</b>



	<p>research careers.</p>	<p><u>UWE became a member of Athena Swan in February 2012. UWE applied for and were awarded a bronze award in April 2013 for the institution and for the Department of Biological, Biomedical and Analytical Sciences.</u> The Department of Engineering, Design and Mathematics submitted an application for a bronze award in November 2013</p> <p>A further three departments have submitted, the joint application by the departments of Nursing and Midwifery along with Allied Health Professions was successful in 2014.</p> <p>The department of Health and Social Sciences are awaiting the outcome.</p>	<p>including signing up to the Athena SWAN Carter</p> <p>To continue the work of the University Athena Swan Self-Assessment Team in encouraging departments to prepare and submit applications</p> <p>To establish Self- Assessment Teams for STEMM departments</p> <p><u>A webpage with all current submissions and awards can be found here</u></p>	<p>University Athena Swan Self Assessment Team (SAT)</p> <p>University Athena Swan Self-Assessment Team (SAT)</p> <p>University Athena Swan Self-Assessment Team (SAT) and departmental Self-Assessment Teams</p>	<p>Ongoing – meetings are quarterly</p> <p>January 2015</p> <p>Meets 4 times per year</p>
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**F: 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**

	<i>Clause</i>	<i>Evidence for current compliance</i>	<i>Actions</i>	<i>Lead</i>	<i>Timescale</i>
7.1	The implementation of the Concordat's principles	The university has established a working group to oversee the	Ongoing monitoring of progress	Professor Glenn Lyons, Associate	<b>May 2014, October</b>

	will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress .	implementation of the concordat. It is comprised of the Researchers' Forum Convenor (Professor Glenn Lyons), Researcher Development Manager (Dr Paul Spencer), Leadership and staff development manager (Pam Fitzsimmons) and a research staff representative (Dr Yvette Morey).		Dean for Research and Researchers' Forum convenor	<b>2014, May 2015, October 2015</b>
7.2	<p>The signatories agree:</p> <p>a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress.</p> <p>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</p> <p>c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</p> <p>d. to draw up an implementation plan for the Concordat, to ensure a coherent and</p>	<p>Monitoring of Concordat implementation is overseen by the working group mentioned in 7.1 which gathers relevant information from a number of sources:</p> <ul style="list-style-type: none"> <li>- Consultation with the Research Staff through the Researchers' Forum</li> <li>- CROS survey</li> <li>- Internal staff satisfaction survey</li> </ul>	<p>Sharing of practice and information from the Researchers' Forum as widely as possible through the research staff website</p> <p>Undertake and analyse CROS surveys on a bi-annual basis</p> <p>Liaise with Human Resources on extracting data from staff satisfaction survey w.r.t. researchers</p>	<p>Researchers' Forum planning group</p> <p>Research, Business &amp; Innovation Researchers' Forum Planning Group</p>	<p>Ongoing after each Researchers' Forum event (twice a year) Bi-annually</p> <p>Following staff survey</p>

	<p>sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).</p> <p>e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).</p>				
7.3	<p>The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat.</p>	n/a	No action required		
7.4	<p>The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review</p>	<p>UWE engages with the South West &amp; Wales Vitae hub as a primary route of sharing practice and staging collaborative provision where possible.</p>	<p>To provide the SW Crucible Steering Group with funding commitments to continue this collaborative project</p>	<p>Pro VC (Research) Professor Martin Boddy,</p>	<p>August 2013 <b>Completed in September 2013</b></p>

	<p>process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.</p>	<p><b>In collaboration with the Universities of Bath and Bristol – running the <a href="#">South West Crucible</a> for future research leaders. Piloted in 2013 and running again in 2014</b></p> <p><b>Contributing to the 2<sup>nd</sup> Research Careers fair with Vitae SW &amp; Wales hub</b></p>	<p><b>Triple the number of applications from UWE in 2014 compared to 2013</b></p> <p><b>9 of the 29 SW Crucible participants were from UWE, see the <a href="#">dedicated microsite for more details</a></b></p> <p><b>Encourage UWE researchers to attend the ReSEARCH career fair (venue is the Conference Centre at UWE)</b></p> <p><b>Encourage network of regional employers to contribute to the careers fair</b></p>	<p><b>Researcher Development Manager – Dr Paul Spencer</b></p> <p><b>UWE Careers</b></p>	<p><b>April-July 2014</b></p> <p><b>June 2014</b></p> <p><b>February 2014</b></p>
7.5	<p>Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed</p>	<p>CROS provides some of this data Additional data under this heading can be found in <a href="#">the staffing compendium</a> and <a href="#">Athena Swan Action Plans</a></p>	<p>Ongoing monitoring</p> <p><b>Commission a longitudinal study of the UWE CROS data from 2009, 2011 &amp; 2013 to identify trends and to factor into future planning</b></p> <p><b>Commit to analysing the CROS 2015 data to add to the previous trends identified in</b></p>	<p>Concordat implementation working group <b>Concordat implementation working group</b></p> <p>Concordat implementation working group</p>	<p>Ongoing</p> <p><b>April 2014</b></p> <p><b>June 2015</b></p>

	on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.		<b>preparation for the 4 year assessment CROS 2015 data analysed and compared, where appropriate, to data from 2013 and national aggregate data. <u>Result disseminated</u> and discussed at Researchers' Forum event in November 2015</b>		
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