

Gap analysis against the *Concordat to support the Career Development of Researchers* and associated action plan

1. Background

- 1.1 The University of Worcester is seeking to increase its research capacity. Building on its success in REF 2014, its new research strategy places great emphasis on the importance of appointing, developing and retaining high quality researchers.
- 1.2 The University has a small but growing number of Research Staff: currently it has around 40 research staff, four times the number in 2008 when the Concordat was launched. This growth is based on increasing numbers of externally funded research posts alongside the development of a number of (primarily postdoctoral) research posts funded by the University, which seek to develop research in specific areas. This submission is primarily focused on this group of staff but it is implicit that many of the actions set out in this document are driven by a wider desire to develop the careers of ECRs, whether in academic or research posts.
- 1.3 The University has invested significantly in researcher development in the last 3 years: through the appointment of dedicated researcher development staff; through membership of Vitae and subscription to the RDF Planner; and through additional investment in a range of online resources for researchers. This has led to a significant overhaul and enhancement of its researcher development programme for research students and staff in this period.
- 1.4 The University is also in the process of a wide-ranging, periodic review of its Human Resource policies and practices. This is an opportune moment for a full reflection on how these policies and practices align with the principles of the Concordat but also with its new research strategy.

2. Gap Analysis

- 2.1 The University has engaged fully with the Concordat since its initial publication. The University undertook a gap analysis of its practice against the Concordat in October 2008 and developed an action plan from this analysis. The analysis and action plan was reviewed and approved by the University Research Committee, which had oversight of the approved action plan.
- 2.2 A revised gap analysis and updated action plan was submitted first to the University Research Committee in December 2012 for review and approval. As previously, this committee had responsibility for implementation of the new action plan.
- 2.3 The new Research Strategy approved in October 2014 identified the ambition to apply for the HR Excellence in Research Award. A new gap analysis was undertaken by the Researcher Development Officer (Staff) working with the Deputy Pro Vice Chancellor Research and the Director of Human Resources and a full action plan was identified. This analysis and the associated plan was heavily informed by a survey of staff on researcher development completed in Summer 2015.
- 2.4 The gap analysis and action plan was submitted to the University Research Committee in December 2015 for review and the recommendation was made to move to submission for the March 25th 2016 deadline for the HR Excellence in Research Award.
- 2.5 The gap analysis and action plan was subsequently sent to all research staff and to Institute Research Committees for comment and a revised version of the documentation was considered and approved by the University Research Committee in February 2016.
- 2.6 University Executive received and approved the gap analysis and action plan in March 2016 and accepted the Research Committee's recommendation to submit for the March 25th 2016 deadline. The documentation was also submitted to the Personnel Committee of the Board of Governors for information in March 2016.

3. Action Plan

- 3.1 The University is confident that much of its current practice is compliant with the principles of the Concordat but the gap analysis has identified a number of specific areas for development which fall under the following broad headings:
- Review of HR policies and practice
 - Review of research career pathways
 - Engagement of research staff with researcher development programme
 - Training and development for research leaders
 - Mentoring for researchers
- 3.2 **Review of HR policies and practice** - as noted the wider review of HR policies and practice provides an excellent opportunity to reflect upon how these coalesce with the Concordat and the specific needs of researchers.
- 3.3 **Review of research career pathways** – this is a significant piece of work for the University also tied up with wider reflections on career pathways for academic and professional support staff.
- 3.4 **Engagement of research staff with researcher development programme** – the launch of a new researcher development programme in 2015/16 offers an excellent opportunity for immediate reflection on its effectiveness in engaging a range of staff including research staff.
- 3.5 **Training and development for research leaders** – the gap analysis reveals that this is an area for development; much current training is focused on research supervisors and not on PIs and other research leaders.
- 3.6 **Mentoring for Researchers** – the gap analysis reveals that a range of mentoring schemes are in place but have not been rolled out across all academic institutes. The time is right to evaluate the effectiveness of existing schemes, the engagement of research staff with these schemes and to develop an overarching scheme that draws on best practice.

4. Implementation and review of action plan

- 4.1 The University Research Committee has overarching responsibility for the implementation of the action plan.
- 4.2 The Committee has established a Concordat Implementation Group chaired by the Deputy Pro Vice Chancellor, including representation from HR, the Researcher Development Officer (Staff), and three Representatives of Research Staff, to oversee the implementation of the plan and to keep the plan under review.
- 4.3 The Deputy Pro Vice Chancellor Research will report periodically to University Executive on progress against the action plan and identify where there might be specific resource needs relating to implementation.

Membership of key committees referenced in document

University Research Committee

- Deputy Pro Vice Chancellor Research (Chair)
- Vice Chair (To be nominated by the Committee)
- Secretary
- Two representatives from each academic institute (normally to include Research lead or Chair of Institute Research Committee)
- Pro-Vice Chancellor Business Development
- Chair of Research Degrees Board
- Chair of Ethics and Research Governance Committee
- Research School Manager
- Representative from Finance
- Representative from Library Services
- Representative from the Research Funding Unit
- Representative from University Professors
- Representative from PGR community
- Representative from ECRs

University Executive

- Vice Chancellor and Chief Executive (Chair)
- Academic Registrar
- Clerk to the Board of Governors
- Deputy Pro Vice Chancellor Educational Partnerships
- Deputy Pro Vice Chancellor Research
- Director of Communications & Participation
- Director of Estates & Facilities
- Director of Finance
- Director of HR
- Director of Quality and Educational Development
- Head of Student Services
- Head of Vice Chancellor's Office
- Heads of Institute
- Pro Vice Chancellor Academic
- Pro Vice Chancellor International
- Pro Vice Chancellor Students
- University Librarian

Personnel Committee (of the Board of Governors)

- Ex-Officio
 - o Vice Chancellor
- Elected
 - o Four Governors not being staff or students of the University including a majority of Independent Members from whom the Chair will be elected
- In attendance
 - o Director of HR
 - o Pro Vice Chancellor Academic
 - o Pro Vice Chancellor Students
 - o Staff Governor (in an observer capacity)
 - o University Secretary
- Co-options
 - o The Chair may arrange up to two co-options for any agenda item subject to the approval of the Committee

Diversity & Equality Committee

- Pro Vice Chancellor Students (Chair)
- Director of Access and Inclusion (Secretary)
- Director of Estates and Facilities
- Director of HR
- Head of Student Services
- Nominee from the trade union UCU
- Nominee from the trade union Unison
- Representative from Data Management Unit
- Representative from Disability and Dyslexia Service
- Representative from International Office
- Representative from the Board of Governors
- Representatives from Student Union
- Two Elected academic staff representatives (for a 4 year period)
- Two Elected support staff representatives (for a 4 year period)
- University Chaplain

Institute Research Committee

- Head of Institute or nominee (Chair)
- Research Coordinator
- Representatives from Research Centres within Institute
- Representatives from each subject group/division/centre in Institute
- Representative from Early Career Researchers
- Representative from Research Students
- Institute Ethics Coordinator

Concordat Implementation Group

- Deputy Pro Vice Chancellor (Chair),
- Researcher Development Officer for Staff (Secretary)
- Representative from HR
- Representatives from Research Staff x 2

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

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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.	<p>The University's Research Strategy identifies six overarching aims, which reflect its ambition to increase its research capacity, the excellence of its research and the impact its research has on the wider world. Second of these aims is: 'We will attract, develop, support and retain high quality researchers'.</p> <p>A series of specific objectives are identified under this aim; the following are of particular relevance here:</p> <ul style="list-style-type: none"> • Ensure that the University's procedures for academic staff appointment identify a candidate's research track record and potential as key criteria. • Ensure that the University's procedures for staff probation, appraisal and promotion recognise and reward research success. • Ensure that the University appoints excellent researchers to research studentships, post-doctoral fellowships and research posts. <p>In addition, the strategy identifies a series of Key Performance Indicators (KPIs) for its aims.</p> <p>Whilst we are confident that our current Recruitment & Selection Policy leads to the appointment of staff appropriate to the specified role, there is a need to revisit the standard job descriptions and person specifications for academic and research posts to ensure that they fully reflect the University's strategic ambitions.</p> <p>Similarly, whilst we are confident that research achievements are recognised in our probation, appraisal and promotion procedures (the Deputy Pro Vice Chancellor Research is now a standing member of the academic promotions panel), this is another area that needs further consideration in light of the research strategy.</p>	<ol style="list-style-type: none"> 1. Review our recruitment/ selection policy and procedures in light of the research strategy as part of wider review of HR procedures 2. Monitor recruitment (and progression) of academic and research staff primarily through the KPIs identified in the research strategy 3. Review our probation, appraisal and promotion procedures in light of the research strategy as part of wider review of HR procedures 	<p>Director of HR working with Deputy Pro Vice Chancellor Research</p> <p>Deputy Pro Vice Chancellor Research working with HR</p> <p>Director of HR working with Deputy Pro Vice Chancellor Research</p>	<p>Dec 2016</p> <p>June 2016 (and then on annual basis)</p> <p>Dec 2016 (Probation); Jun 2017 (Appraisal & Promotion)</p>	<p>New policy in place that fully reflects the ambitions set out in the Research Strategy</p> <p>Meet relevant measures of success set out in Research Strategy KPIs</p> <p>New policies established that fully reflect the ambitions set out in the Research Strategy</p>

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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>Our Recruitment & Selection Policy clearly sets out our procedures. These procedures ensure that all applicants are treated with objective fairness and sensitivity and are aligned with our Equality Objectives. The University is committed to remaining a “Two Ticks” employer. Job applicants and staff are encouraged to declare a disability and the University takes a proactive approach to reasonable adjustments.</p> <p>There are academic and research role descriptors. There are also standard academic and research job descriptions & person specifications, which are revised to ensure that the skills and requirements of the post are accurately reflected. These are quality assured by HR and by reference to other experts, where appropriate.</p> <p>Posts are advertised using external media and on the UW website. These include clear descriptions of the selection process to be used. It is ensured that selection processes provide equality of opportunity in a transparent way.</p> <p>The diversity of our applications is monitored by the Diversity & Equality Committee for age, gender, disability, race, sexual orientation and faith.</p>	1. Review of standard Job descriptions, person specifications and role descriptors on a regular basis	Director of HR	Sep 2016	Job descriptions, person specifications, and role descriptors remain appropriate and fit for purpose
			2. Review of where research posts are advertised (e.g. promotion through EURAXESS)	HR working with Research Funding Office	July 2016	Wider advertisement of Research Posts
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	<p>Managers requesting a new post are required to complete a Staff Vacancy Release form (SVR) which is signed off by Finance and ultimately the Vice Chancellor or Pro Vice Chancellor Academic.</p> <p>The SVR identifies whether a role is permanent or fixed-term and provides a series of financial and other rationales for the post. However, it is not explicit in asking why a post should be fixed-term, although in reality this is normally because it is linked to a specific funding stream or the post is a pump-priming post, i.e. it seeks to drive research forward in a particular area and the continuation of that post is dependent on a series of set objectives.</p>	1. Review the SVR so that rationale for fixed-term posts is made explicit	Director of HR	July 2016	Revised SVR in place which requires rationale for fixed-term posts

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
1.4	<p>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 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>All candidates are assessed against the person specification by a shortlisting panel consisting of a representative from HR plus at least one other (normally the line manager, supervisor or Principal Investigator for the post). Under our commitment to "Two Ticks", a disabled applicant is guaranteed an interview by meeting the essential criteria in the person specification. Recruitment data is monitored by the Diversity & Equality Committee for age, gender, disability, race, sexual orientation and faith at each stage of the process.</p> <p>The University's Recruitment & Selection Policy sets out the ambition that the selection panel will be 'drawn from all sections of the University community and will include men and women, people from ethnic minorities and people with disabilities, particularly if there are candidates from these under-represented groups'. It is the norm for the panel chair to be a senior member of staff and for HR to be represented on all panels.</p> <p>Those involved in recruitment and selection must have attended 'Recruitment & Selection' training and completed an online Equality & Diversity module. This training must be updated periodically.</p> <p>Our recruitment process is informed at each stage by our Equality Objectives.</p> <p>All unsuccessful candidates are provided with feedback by HR on request.</p> <p>Our promotions and rewards panels for academic and support staff are drawn from senior staff across the University. Applications and awards to promotion and reward schemes are monitored by the Diversity & Equality Committee for age, gender, disability, race, sexual orientation and faith as well as subject area and mode of employment.</p>	<ol style="list-style-type: none"> <li data-bbox="1225 201 1525 788">1. Review composition of and training for selection panels as part of wider review of HR procedures <li data-bbox="1225 788 1525 1372">2. Review composition of and training for promotion and reward panels as part of wider review of HR procedures 	<p>Director of HR</p> <p>Director of HR</p>	<p>Dec 2016</p> <p>Jun 2017</p>	<p>Composition of selection panels aligned with Equality objectives; positive feedback on training</p> <p>Composition of promotion and reward panels aligned with Equality objectives; positive feedback on training</p>

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
1.5	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 research organisation.	<p>We determine pay and grading through analytical factor-based job evaluation (HERA) to ensure equal pay for work of equal value.</p> <p>We have role descriptors for research posts to enable researchers to identify how they might progress but there is a clear need to revisit these descriptors and to identify clear career pathways for researchers</p>	<ol style="list-style-type: none"> <li data-bbox="1225 197 1525 357">1. Review research role descriptors <li data-bbox="1225 357 1525 507">2. Review career pathways for researchers 	<p>Director of HR working with Deputy Pro Vice Chancellor Research</p> <p>Director of HR working with Deputy Pro Vice Chancellor Research</p>	<p>July 2016</p> <p>July 2017</p>	<p>Updated Research role descriptors in place</p> <p>Clear career pathways for research staff established</p>

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

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether 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. This approach should be embedded throughout all departmental structures and systems.	<p>All research staff, regardless of their contract, have access to the same facilities as all other staff, and to standard benefits such as an annual leave, maternity leave, sick pay, pension, etc. As discussed in 1.3, posts are assessed to ensure it is totally necessary for them to be fixed-term.</p> <p>All research staff, regardless of their contract, have access to the same development opportunities as all other staff as set out in our Staff Development Policy.</p> <p>Opportunities are identified and agreed with research staff through our annual appraisal processes.</p> <p>Research staff have full access to our Researcher Development Programme (RDP). Our 2015 Staff Researcher Development Survey indicated that some fixed-term, post-doctoral and part-time staff did not know about or that they could attend the RDP. The RDP now includes a “Personal and Professional Development” cluster that incorporates a series of workshops aimed specifically at post-doctoral researchers and those on fixed-term contracts.</p>	<ol style="list-style-type: none"> 1. Review research staff engagement with development opportunities 2. Review research staff engagement with the Researcher Development Programme 3. Explore researchers’ experience of staff development through “exit interviews” 	<p>Staff Development Advisor</p> <p>Researcher Development Officer (Staff)</p> <p>Staff Development Advisor/ Researcher Development Officer (Staff)</p>	<p>Summer 2016 and annually thereafter</p> <p>Summer 2016 and annually thereafter</p> <p>July 2016 and annually thereafter</p>	<p>Increased engagement of research staff</p> <p>Increased engagement of research staff</p> <p>Staff development strategies evolve in light of this data</p>
2.2	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	<p>We subscribe to these regulations and guidance and the benefits they bring.</p> <p>HR is currently developing new internal guidance and training on fixed term contracts for managers and implementing regular reporting.</p>	<ol style="list-style-type: none"> 1. Develop new guidance on fixed term contracts and associated training 	HR	July 2016	New guidance and training in place

	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.		2. Implement regular reporting on staff on fixed term contracts	HR	July 2016	Reporting leads to more effective management of staff on fixed term contracts
2.3	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 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>All managers are required to attend training related to performance management, part of which focuses on our appraisal processes and how these can be used to develop staff under their management. This is a generic course.</p> <p>We also run a Leadership Development Project, which leaders across the University engage with. This currently combines generic training and development for leaders with courses focused on academic programme leads. Our researcher development team is currently working with the leadership development team to develop a specific pathway focused on research leadership.</p> <p>Our Researcher Development Programme is mapped against Vitae's RDF and workshops are clearly signposted as of use for different career stages. We provide workshops for research degree supervisors and research centre/group leads; these are signposted for those who are or aspire to be a 'Research Leader'. Research Leaders are also encouraged to enhance their Leadership skills by delivering aspects of the programme. We also offer the "Every Researcher Counts" training to our supervisors and principal investigators.</p> <p>Leadership & Management is one of three core areas in which staff must demonstrate excellence in our promotion and rewards schemes. It is monitored in appraisals in which staff are encouraged to develop their skills.</p>	<p>1. Establish a development programme for research leaders</p> <p>2. Engage with PIRLS 2017</p>	<p>Researcher Development team and Leadership Development team</p> <p>Researcher Development team</p>	<p>Beginning of academic year 2016/17</p> <p>2017</p>	<p>Programme in place; research leaders engage with programme</p> <p>University of Worcester participates in PIRL 2017; significant percentage of research leaders engage with the survey</p>

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
2.4	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 be enhanced to help employers to achieve this objective.	<p>The majority of our current research staff are on permanent contracts and their employment is not linked explicitly to a funding stream. This reflects our desire to retain our excellent researchers.</p> <p>For those researchers on a fixed term contract (normally because the post is associated with a time-limited grant), when the post is coming to an end, we will seek to redeploy them where this is possible and appropriate and to provide more general support in seeking further employment (internally or externally). One limitation on redeployment is knowledge within HR of potential areas for redeployment.</p> <p>Wherever possible, we seek agreement from funders that support will be provided from within the grant to provide resources to aid redeployment.</p>	1. Develop better workforce planning to improve identification and retention of excellent researchers	HR	July 2016	Research Staff effectively redeployed as appropriate
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.	We implemented the JNCHES National Pay Framework Agreement. Research staff are included in the grade structures. Pay progression for this group is in accordance with the normal process that applies to all groups of staff.	1. Continued monitoring of pay progression for research staff	HR	Aug 2016 (and ongoing annually)	Monitoring confirms that progression is in accordance with the JNCHES National Pay Framework Agreement

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
2.6	<p>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 organisational HR strategies.</p>	<p>We have created opportunities for all staff to be considered for pay promotion within a pay band and for promotion to a higher pay band, underpinned by job evaluation. These are clearly set out on our website and individuals are notified by email at the appropriate time of year.</p> <p>However, it is clear that we need to develop further career pathways for researchers.</p>	See action 1.5.2.			

PRINCIPAL 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
3.1	<p>It is recognised that positions of permanent employment are limited in the UK research and 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>As noted above, our Staff Development Policy applies to all staff and starts with the appraisal process where individuals discuss career plans and expectations with their managers. Development needs are met in various ways according to the type of work being undertaken. Our researchers are encouraged and supported to engage in relevant development activities and to develop expertise that is transferable to other sectors.</p> <p>Our Researcher Development Programme is fundamental to supporting the personal and professional development of our researchers. The programme was considerably enhanced in 2015/16 following a comprehensive researcher development survey of staff and research students. The programme is coordinated by two newly appointed Researcher Development Officers, one with responsibility for research students and the other for academic and research staff. The programme is fully aligned with Vitae's Researcher Development Framework (RDF). Staff are also made aware of the programme at Induction and receive a newly developed Staff Researcher Development booklet.</p> <p>Our research students currently have access to the RDF Planner; this should be extended to research staff.</p>	<ol style="list-style-type: none"> 1. Evaluate the effectiveness of our current Researcher Development Programme in meeting the explicit needs of research staff and if appropriate develop specific pathways for research staff 2. Engage with CROS 2017 to gain greater intelligence on the needs and expectations of research staff 3. Make RDF Planner (or equivalent mechanism) available to research staff (subject to budget limitations) 	<p>Researcher Development Officer (Staff)</p> <p>Researcher Development Officer (Staff)</p> <p>Deputy Pro Vice Chancellor Research</p>	<p>July 2016</p> <p>2017</p> <p>Beginning of academic year 2016/17</p>	<p>Research staff needs met and/or development of specific pathways for Research Staff</p> <p>University of Worcester participates in CROS 2017; significant percentage of research staff engage with the survey</p> <p>Research staff have access to RDF Planner or equivalent mechanism</p>

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
3.2	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.	Our Researcher Development Programme for staff is organised into 6 clusters one of which is focused on 'Professional Development and Personal Effectiveness'. This includes an Introduction to RDF workshop and opportunities to develop skills in teaching and supervision. This cluster also includes a group of workshops on career planning and entrepreneurship explicitly sign-posted towards Post-doctoral researchers and those on fixed-term contracts. These clusters are complemented by Researcher Development activities (e.g. Emerging Researcher Research Café) to initiate discussion amongst peers about career development. There is scope to develop this cluster further and this is ongoing.	1. Enhance the 'Professional Development and Personal Effectiveness' cluster within our Researcher Development Programme	Researcher Development team	For academic year 2016/17	Fuller programme available in this cluster; greater engagement with this cluster
3.3	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.	The appraisal process provides opportunity for research staff to identify broad development needs and research staff can access a broad range of development opportunities both internally and externally. Our Researcher Development Programme offers a range of workshops and courses to develop transferable skills. Work is ongoing to develop these opportunities further (see 3.2.1). However, a specific area for development relates to teaching and there is opportunity to think how researchers (student and staff) would benefit from development in this area specific to their needs.	1. Explore developing a "teaching for researchers" qualification	Researcher Development team working with Educational Development Unit	January 2017	New "teaching for researchers" qualification in place for 2017/18

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
3.4	All employers will wish to review how their staff can access 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.	<p>Through our Researcher Development Programme, researchers are encouraged to engage with Vitae's Researcher Development Framework to think about how their skills can be transferred to other sectors. A series of workshops also focus on the career destination of researchers.</p> <p>Research staff also have more general access to our careers service but there is no clear evidence of how far researchers use this service or are aware of it.</p>	<ol style="list-style-type: none"> 1. Review our support for research staff in providing support and advice on career management 2. Organise conference for researchers focused on career development and evaluate effectiveness 	<p>Researcher Development team</p> <p>Researcher Development team</p>	<p>Dec 2016</p> <p>May 2017</p>	<p>Enhanced support in light of review</p> <p>Conference takes place and is well attended; positive feedback from attendees</p>
3.5	<p>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.</p>	<p>As noted above, the appraisal process provides an opportunity for research staff to plan their career development.</p> <p>Research staff are made aware of our own staff development policy at induction and on an ongoing basis through appraisal. They are made aware of the Researcher Development Framework through our Researcher Development Programme.</p> <p>Opportunities for promotion and reward are highlighted to all staff and communicated by email on an annual basis. As noted above, however, there is work to be done in articulating career pathways for researchers.</p>	See action 1.5.2			

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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 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>All staff have access to a general University induction programme delivered face-to-face backed up by an online programme. Research staff are also invited to an academic-focused University induction programme, which incorporates a session on researcher development.</p> <p>All staff also have access to an institute-level induction.</p> <p>Induction has recently undergone a significant overhaul and will be subject to review and evaluation at the end of 2015/16.</p> <p>It is the norm that as part of probation, staff development needs will be articulated and reviewed throughout the probation period.</p> <p>As noted above, a programme for research leaders is in development, part of which will focus on how research managers/leaders develop their teams</p>	1. Review new induction processes	Staff Development Advisor	Summer 2016	Positive feedback on Induction; Induction enhanced in light of feedback
			See action 2.3.1			
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 practise 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.	Our Staff Researcher Development Programme articulates 4 “career stages” for researchers: “New”, “Emerging”, “Established” and “Leader”. This articulation in large part emerged from our researcher development survey of academic and research staff which suggested that the ECR designation did not lend itself effectively to our overall staff demographic. The programme identifies how a researcher at each stage might broadly plan his/her development but also more specifically which courses and workshops might be most relevant at each stage.	1. Evaluate staff engagement with the career stages	Researcher Development Officer (Staff)	Summer 2016	Staff engaged with career stages
			2. Review research staff engagement and roles within Institute mentoring schemes	Research leads at institute level	Health & Society review (Summer 2016); Sport & Exercise Science; and Business School review (Summer 2017)	Research staff engaged with mentoring schemes

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
3.8	Employers also should provide a specific 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 should be familiar with such provisions and arrangements.	All staff have access to a general mentoring scheme but some institutes have developed a more focused research mentoring schemes (Health & Society; Sport & Exercise Science; Business School).	1. Roll out research mentoring scheme across the University drawing on good practice at Institute level	Deputy Pro Vice Chancellor Research; Heads of Institute and institute research leads	In place for 2016/17 in all institutes	Research mentoring scheme in place across all institutes and research staff fully engaged with the scheme
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.	See 2.3	See action 2.3.1			

PRINCIPAL 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
4.1	<p>Researchers should be empowered by having a 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.</p>	<p>Our appraisal process offers opportunities for research staff to assess and plan their development. It draws on our general staff development programme, our specific Researcher Development Programme and opportunities at institute-level.</p> <p>The Researcher Development Programme now offers provision about Academic Entrepreneurship developed in collaboration with Worcester Business School and Career's Management drop-ins. As mentioned, these are explicitly aimed at Post-doctoral researchers and those on fixed-term contracts with a view to expanding this audience more widely. Our new series of Research Cafés for Emerging Researchers acts as a forum to explicitly prompt the discussion of these issues with researchers at this career stage.</p> <p>All academic and research staff are asked to develop a 4-year research plan and to review and develop this on annual basis.</p> <p>The University is in the process of reviewing its appraisal processes and will do so in light of its research strategy and the specific needs of researchers.</p>	<p>See actions 1.1.3, 2.3.1 and 3.2.1</p>			
4.2	<p>Employers will wish to ensure that developmental 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 unduly disadvantaged when moving from one employer to another.</p>	<p>Research Staff who are engaged in teaching are supported to undertake the PgCert in Learning & Teaching. This route, however, may not be appropriate for all researchers because of the volume of teaching they are engaged with so other opportunities should be explored.</p>	<p>See action 3.3.1</p>			

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
4.3	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 4.2 above	See action 3.3.1			
4.4	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.	Researchers have explicit representation on various committees at institute level (e.g. Institute Research & Knowledge Transfer Committees) but this practice is not consistent. There is also no direct route for research staff to feed into the University's Research Committee.	<ol style="list-style-type: none"> <li data-bbox="1223 509 1525 663">1. Review research staff representation on research and other committees <li data-bbox="1223 663 1525 882">2. Develop a Research Staff Forum which can feed into the University's Research Committee 	Deputy Pro Vice Chancellor Research	May 2016	Research Staff fully represented on appropriate committees
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	See 3.8	See action 3.8.1			

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

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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>Research role descriptors articulate the skills and capabilities researchers should develop at each stage. As noted these descriptors need revisiting.</p> <p>This development is actioned through the appraisal process and specifically the 4-year research plan.</p>	See action 1.2.1			
5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy-making and commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.	<p>Our Research Strategy is explicit in seeking to increase the commercial impact of our research and the wider social, economic and cultural impact. Its fourth aim states: "We will increase income from research, enterprise and consultancy including the commercialisation of our research". Its fifth aim states: "We will ensure our research makes a difference to people's lives locally, regionally, nationally and internationally".</p> <p>Core strategic objectives include to: Develop support for staff to undertake contract research and consultancy with businesses and other organisations; Develop the capacity to advise researchers on the commercialisation of their IPR, to safeguard their ideas and to increase the revenue earned from research; develop support to ensure our research is communicated effectively to non-academic audiences through external media; Establish programmes of events to engage the public with our research; Establish and further develop existing links with research user groups, including public services, non-for profit organisations and businesses, and engage these groups in the co-creation of research.</p>	<ol style="list-style-type: none"> 1. Review support for researchers to commercialise their research 2. Review training and development relating to impact, commercialisation, intellectual property rights, etc. 	Deputy Pro Vice Chancellor Research	January 2017	New support in place
				Researcher Development team	Summer 2016	Enhanced development programme in place in these areas

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
5.3	<p>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>	<p>The University has well established policies and practices relating to ethics and research conduct. It has mapped its policy and practice against the Concordat to Support Research Integrity and developed an action plan accordingly. This action plan is periodically reviewed.</p> <p>Research staff are introduced to research integrity and ethics at induction and a range of training is provided for all staff through the Researcher Development Programme. There is opportunity to embed ethics and integrity training more fully into the induction programme.</p>	<ol style="list-style-type: none"> 1. Review policy and practice against the Concordat to Support Research Integrity and other external frameworks 2. Embed ethics and integrity training into online induction programme for all academic and research staff 	<p>Ethics and Research Governance Committee</p> <p>Deputy Pro Vice Chancellor Research</p>	<p>March 2016</p> <p>Beginning of academic year 2016/17</p>	<p>Policy and practice updated in light of Concordat</p> <p>Training in place; research staff engaged with training</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>As noted the Researcher Development Programme offers opportunities to develop a range of transferable skills and to articulate these skills through Vitae's RDF.</p> <p>Whilst the RDF underpins the Researcher Development Programme, more explicit positioning within provision and targeted RDF training will be of benefit to researchers. For example, it might be useful to reinforce these ideas by providing training on the RDF explicitly for PIs and research managers similar to that already offered to research supervisors.</p>	<ol style="list-style-type: none"> 1. Develop training for Principal Investigators 	<p>Researcher Development team</p>	<p>Beginning of academic year 2016/17 as part of Research Leaders programme</p>	<p>Training in place; research leaders engaged with training</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.</p>	<p>As has been noted, researchers have access to a rich Researcher Development Programme organised around Vitae's RDF. The need to take responsibility to engage with the programme in a way which meets researcher's needs is made explicit at induction and different ways of engagement are highlighted in the Researcher Development booklet for staff.</p> <p>We encourage external opportunities to be shared by Institute Research leads. These are posted on the Researcher Development website, which all researchers have access to and can 'follow' to receive electronic updates on such opportunities.</p> <p>It will be valuable to provide research staff with access to the RDF Planner currently only open to research students and to extend training to PIs around the RDF and the programme more</p>	<p>See action 2.3.1</p>			

	<p>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 supervision to attend appropriate training and career development courses and events.</p>	<p>generally. This would form part of the new Research Leaders programme under development.</p>				
5.6	<p>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>	<p>Development is discussed annually through the appraisal process with the 4-year research plan playing a core role in this discussion.</p> <p>It is envisaged that the extension of the RDF Planner to research staff will enable them to use this tool as the basis of their personal and professional development planning.</p>	See action 3.1.3			

PRINCIPAL 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of under-representation or lack of progression.	We have established set of Equality Objectives in light of this legislative framework. Progress against these objectives is reviewed by our Diversity & Equality Committee.	1. Continued review of Equality Objectives	Diversity & Equality Committee	June 2016	Progress against objectives is appropriate
6.2	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.	See 1.2	1. Continued monitoring of recruitment data for age, gender, disability, race, sexual orientation and faith	Diversity & Equality Committee	June 2016	Recruitment data meets with Equality Objectives

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
6.3	<p>It should be emphasised that the 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>The University is committed to equality. Our Diversity & Equality Committee reviews retention and progression for all staff groups by age, gender, disability, race, sexual orientation and faith.</p> <p>We undertake an equality impact assessment on all our policies and practices; this included our Code of Practice for the selection of staff in REF 2014 and also our final submission. This data has been reviewed by our University Research Committee and the Diversity & Equality Committee.</p>	<p>1. Consider including specific research staff representation on Diversity & Equality Committee</p>	<p>Chair of Diversity & Equality Committee</p>	<p>May 2016</p>	<p>Research Staff represented on Diversity & Equality Committee</p>

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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>The University remains committed to supporting staff to achieve a positive work-life balance and continues to develop its family friendly policies which can assist staff with caring responsibilities.</p> <p>The University offers a range of flexible working practices - flexitime; annualised and compressed hours; job share - where the duties can be divided practically between two people and wherever reasonably practicable will support temporary or permanent changes to the working arrangements. Our flexible working policy is open to all staff who have 26 weeks continuous service not just those with parental responsibility for a child or caring responsibilities for an adult.</p> <p>We are aware that PIs might be less open to changes in working hours because of the specific time pressures of research projects; it is therefore important that research leaders and managers receive relevant training in this area.</p>	<ol style="list-style-type: none"> 1. Review Flexible Working Policy in relation to research staff 2. Include “Every Researcher Counts” training in research leaders programme 	<p>Director of HR</p> <p>Researcher Development team</p>	<p>July 2016</p> <p>Beginning of academic year 2016/17</p>	<p>Policy appropriate for research staff</p> <p>Training in place; research leaders engaged with training</p>

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
6.5	It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	See 6.4	See action 6.4.1 and 6.4.2			
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.	We endorse this provision and already have established central contingency funding for such periods of leave, including long-term sickness absence.	1. Review specific funders approach to maternity leave, paternity leave, adoption leave, sickness absences, etc. on a case-by-case basis	Research Funding Office	Dec 2017	Engage directly with funders where there approach does not align with this principle

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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 level should reflect the percentage in the available pool at the level immediately below.	As noted at 1.2 and 1.4 our Recruitment & Selection Policy ensures equality of opportunity at recruitment. Our Diversity & Equality Committee monitors the composition of our workforce by role for age, gender, disability, race, sexual orientation and faith. The current staffing profile shows that there are women at every level including the most senior, there are disabled people at most levels and those from diverse racial groups. The location of the university in an area where there is a low percentage of people from ethnic minorities does have an impact on the recruitment pool but recruitment to academic and related posts is increasingly from an international pool. Our age profile is also diverse.	1. Continued review of workforce composition for age, gender, disability, race, sexual orientation and faith by job role	Diversity and Equality Committee	Jun 2016	Workforce composition is aligned with Equality Objectives

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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.	As noted in 6.4, we have policies that support work life balance for all staff: flexible working is fully supported. Any health issues are considered through internal and external occupational health advisors.	See 6.4.1			
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.	We have clear policy for Dealing with Harassment and Bullying which is applicable for all staff and kept under review by HR. It is communicated to all staff through Induction.	1. Embed training and support related to this policy for research managers, supervisors and principal investigators into Research Leaders programme	Researcher Development team	Beginning of academic year 2016/17	Increased knowledge of the policy among research leaders

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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 research careers.	<p>We are members of the Athena SWAN charter and we are in the process of preparing an application for an institutional Bronze Award in November 2016.</p> <p>We are members of Stonewall's Diversity Champions Programme for Education.</p>	1. Submit application for an Athena SWAN institutional Bronze Award	Athena Swan Self-Assessment Panel	November 2016	Bronze Award achieved

PRINCIPAL 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

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
7.1	The implementation of the Concordat's principles 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.	The University mapped its practice against the Concordat after in its initial publication and identified some areas for development in 2009. The University Research Committee has reviewed this mapping exercise and associated actions on a periodic basis over the last 6 years leading to this renewed gap analysis.	1. Establish a small working group from Research Committee to oversee the implementation of the new action plan	Chair of Research Committee	Mar 2016	Group established and meeting regularly
7.2	The signatories agree to (a) to (e) a)	n/a	n/a			
7.3	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.	n/a	n/a			

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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 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>Our Researcher Development team are active members of the Midlands Researcher Developers group, which replaced the former Vitae regional hub in 2014. Our Researcher Developer Officer (staff) is also part of the online Vitae Community. Both regularly attend sector events that align with aspects of the Concordat and actively engage in discussion with other HEIs on issues relating to the Concordat's principles.</p>	<p>1. Share practice with the sector through the Midland Researcher Developers regional platform as appropriate</p>	<p>Researcher Development team</p>	<p>June 2016 (and ongoing)</p>	<p>Innovative practice shared as appropriate</p>

No.	Concordat Paragraph	Current policy & practice	Actions identified	Responsibility	Deadline	Success Criteria
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 on the use of existing data and information sources³ and on the sharing of good practice between institutions and to provide evidence of its impact.</p>	<p>As noted above we collect data on staff related for age, gender, disability, race, sexual orientation and faith and review this data on an annual basis.</p>	<p>1. Continued review of equality data</p>	<p>Diversity & Equality Committee</p>	<p>June 2016</p>	<p>Data meets with Equality Objectives</p>