

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

	Clause	Evidence for current compliance	Actions	Lead	Timescale
1.1	All members of the UK research	This is clearly set out in the Research	The Research Strategy for	Research &	July 2012
	community should understand that	Strategy for the University of the	UWE is to be reviewed in 2012	Knowledge Exchange	
	researchers are chosen primarily for	West of England and is a central		Executive	
	their ability to advance research at	tenet to the <u>overall strategic</u>			
	an institution.	direction of the institution.			
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	Human Resources have set out the direction that UWE has taken in this area in the <u>Human Resources &</u> <u>Organisational Development</u> <u>Strategy (2011-2014)</u> document. It has clear goals that will be periodically assessed against both internal & external quality measures.	Annual progress reports on implementing the Human Resources Organisational Development Strategy will be submitted to the Human Resources Committee annually.	Human Resources Committee	Annually in May
1.3	relevant to the role. Research posts should only be	UWE Human Resources has a	There is a regular review of	Human Resources	Ongoing

	advertised as a fixed-term post where there is a recorded and justifiable reason.	specific policy that covers the use of fixed term contracts that was last update in February 2010.	fixed term contracts	Committee	
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 and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if	UWE Human Resources issue <u>specific</u> <u>guidance for the recruitment of all</u> <u>staff</u> . Chairs of appointment panels are required to attend training before they chair a Panel UWE also operates a dedicated <u>Research Review and Progression</u> <u>Panel</u> which meets twice a year to consider promotion applications for staff on research grades. There are clear role profiles and criteria that are considered.	Rolling programme of staff development with respect to recruitment & selection delivered by Human Resources. Continuous awareness raising with staff on research grades via the Researchers' Forum	Human Resources – Staff Development Human Resources – Operations Researchers' Forum Convenor	Ongoing Bi-annually (March & October)
	requested as this may be of assistance to the researcher in considering their further career development.	An Equality and Impact Assessment (EIA) has been carried out of the policies relating to the Research Grading Review Panel.			
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.	UWE operates a pay scale for researchers in line with the National Academic Role Profiles (NARP). <u>A</u> <u>clear Academic Career Pathways</u> framework for UWE staff has been produced which sets out clearly the role profiles and how to progress.	To raise awareness of the career pathways and progression criteria with research staff at inductions, Researchers' Forum events and through line management	Human Resources – Staff Development & Researchers' Forum	ongoing

	Clause	Evidence for current compliance	Actions	Lead	Timescale
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	Feedback from research staff who took part in Career in Research Online Survey (CROS) 2009 & 2011 suggests that they are not treated unfairly with respect to their employment contract.	Continued monitoring of research staff feedback from representatives, Careers in Research Online Survey and UWE staff survey	Researchers' Forum Planning Group	Bi-annually
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 of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use	The <u>UWE policy with respect to the</u> <u>use of fixed term contracts</u> 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.	Periodic (quarterly) review by Associate Deans (Research) in each of the faculties as to the nature of funding streams to support research.	Research and Knowledge Exchange Committees in Faculty.	Quarterly

	of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.				
2.3	Research managers should be required to participate in active performance management, including career development guidance, and	UWE Human Resources is currently implementing its <u>'people +</u> <u>performance' scheme</u> which seeks to address the needs of staff with	Monitor & review proportion of completed performance and development reviews	Human Resources	Annually in September
	supervision of those who work in their teams. Employers should ensure that research managers are	respect to performance and development review. The stated goal is to reach a target of 100%	Development opportunities for research staff & their leaders in collaboration with	Research, Business & Innovation	2011/2012
	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.	completion of annual performance & development reviews for all staff. 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.	external training providers	Researchers' Forum Planning Group	Bi-annually
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.	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	Associate Deans (Research) to continue to monitor income streams on a quarterly basis.	Associate Deans	Quarterly

2.5	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. 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	 (QR) income stream to cover periods between employment contracts. Redeployment opportunities are sought for staff whose contract is being terminated. 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 & Progression Panel, which is chaired by the Deputy Vice Chancellor, Academic. Unsuccessful applicants receive feedback which 	Continue to raise awareness among research staff as to the procedures involved in making applications to the Research Grade and Review Panel.	Researchers' Forum and research staff representative networks	ongoing
	the Framework.	includes advice on areas for further development. Human Resources have also produced an <u>Academic Career</u> <u>Pathways</u> 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.			
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.	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.	Improve visibility of the opportunities to progress through the Researchers' Forum & Human Resources webpages	Research, Business & Innovation Human Resources – Operations Team	January 2012

It is helpful if clear career		
frameworks for early stage		
researchers are outlined in		
organisational HR strategies.		

C: SUPPORT AND CAREER DEVELOPMENT

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

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

career.

	Clause	Evidence for current	Actions	Lead	Timescale
		compliance			
3.1	It is recognised that positions of	The Academic Career Pathways	Continue to promote	Human Resources –	ongoing
	permanent employment are	framework at UWE sets out the role	opportunities for moving	Staff development,	
	limited in the UK research and	profiles of all academic related roles	between roles in the	Research &	
	academic communities and that	at UWE incl, teaching & scholarship,	institution by ensuring	Knowledge Exchange	
	not all researchers will be able to	research roles, management roles,	research managers are more	Executive.	
	obtain such a position. It is,	knowledge exchange roles as well as	aware of the Academic Career		
	therefore, imperative that	teaching & research roles which	Pathways framework		
	researcher positions in the UK are	shows the relationship of the grade			
	attractive in themselves (and not,	structures for each. In addition staff			
	for example, solely as potential	can see what criteria there are for			
	stepping stones to permanent	moving between roles in an			
	academic positions). This requires	academic environment.			
	that they provide career				
	development which is comparable	Research staff have access to			
	to, and competitive with, other	development opportunities provided			
	employment sectors.	by Research, Business & Innovation			

		as well as the UWE Staff Development Programme			
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.	The skills development programme delivered by Research, Business & 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.	To build on the alternative careers section of the development programme by involving careers specialists more.	Research, Business & Innovation	July 2012

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.	There is a <u>wide ranging skills</u> <u>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 Researcher Forum events.	Continue to review the development programme from direct feedback from the courses, via the CROS and via the research staff representative network	Research, Business & Innovation	July 2012
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.	We address this topic via the <u>Researchers' Forum events</u> to provide the space to run development activities on the broader theme of career development for researchers	To review and expand the provision of opportunities to encourage research staff to consider broadening their career horizons	Researchers' Forum Planning Group	July 2012
3.5	Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies	Researchers are engaged on career development via the <u>people +</u> <u>performance</u> scheme.	Brief research managers on the researcher development framework and to encourage them to signpost staff to	Research, Business & Innovation and Human Resources – Staff Development	July 2012

	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.	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.	career professionals for advice on broader career options		
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.	Human Resources have been working to improve induction procedures as part of the <u>people +</u> <u>performance</u> scheme and invite newly appointed research staff to attend institutional welcome events. 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.	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
3.7	Employers and funders will wish to consider articulating the skills that	The <u>Academic Career Pathways</u> framework sets out the role profiles	Use the researcher development framework to	Human Resources	July 2012

	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.	containing the descriptors or responsibilities at each grade and provides information on how to progress. The Researcher Development Framework is being rolled out to all researchers with the skills development programme being mapped to it.	audit the skills development offering across the whole institution.	Research, Business & Innovation	July 2012
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 should be familiar with such provisions and arrangements.	The skills development programme offered by Research, Business & Innovation is open to all researchers. <u>UWE operates a mentoring scheme</u> for all academic staff. A mentoring scheme for female researchers will be launched in December 2011. This aims to improve career progression for female researchers at UWE.	Monitor how many research staff utilise mentor scheme	Research, Business & Innovation	January 2013
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,	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	Monitor the effectiveness of the people + performance scheme with research staff.	Human Resources	Annually

	taking advantage of individual	staff member.			
	taking advantage of individual				
	strengths and talents, and			December Ductioners 0	Contouchou
	increasing the skill and	Research staff are also encouraged	Monitor uptake of research	Research, Business &	September 2012
	effectiveness of researchers in key	directly by Research, Business &	staff to the opportunities	Innovation	2012
	areas such as writing for	Innovation to attend skills	provided.		
	publication or communicating with	development activities via e-mail			
	a wider audience. Funding bodies	advertisements, especially via the			
	acknowledge that the training of	Researchers' Forum.			
	researchers is a significant				
	contribution to research output				
	and they encourage employers and				
	mentors to adopt these practices.				
3.10	Researchers should be empowered	See 3.9	Continue to review the	Human Resources	Annually
	by having realistic understanding		number of research staff		
	of, and information about, their		engaging in the performance		
	own career development and		and development review		
	career direction options as well as		process		
	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.				
3.11	Employers will wish to ensure that	Research staff are offered access to	Review the development	Human Resources	September
	development activities open to	development opportunities in	programme to ensure that all	and Research,	2012
	researchers include preparation for	teaching and learning and preparing	the aspects of researcher	Business &	
	academic practice. Employers	for leading research teams	development framework are	Innovation	

	should take measures to ensure		offered.		
	broad recognition of CPD schemes		onered.		
	from other employing				
	organisations as far as possible, so				
	that researchers are not duly				
	disadvantaged when moving from				
	one employer to another.				
3.12	Employers will ensure that where	See 3.11. Also see the profiles for	Review the feedback from	Research, Business &	July 2012
	researchers are provided with	Research Associate, Research Fellow	research staff via CROS	Innovation	
	teaching and demonstrating	& Senior Research Fellow			
	opportunities as part of their				
	career development, suitable				
	training and support is provided.				
3.13	Employers and researchers can	The Researchers' Forum is one of the	Continue to formalise the	Researchers' Forum	July 2012
	often benefit if researchers have an	main research staff representative	relationship of the	Convenor	
	input into policy and practice	channels. The planning group is	Researchers' Forum with the		
	through appropriate	comprised of research staff	Research and Knowledge		
	representation at staff meetings	representatives & staff from relevant	Exchange Executive		
	and on organisation and	professional services and is			
	management committees.	convened by one of the Associate			
	management committees.	Deans (Research) who directly			
		reports into the Research and			
3.14	Montoring arrangements should be	Knowledge Exchange Executive. A mentoring scheme is offered to all	Review whether the	Human Resources	December
5.14	Mentoring arrangements should be	-		numan Resources	
	supported by employers as a key	UWE staff. See also 3.8	mentoring scheme can be		2012
	mechanism for career		enhanced		
	development and enhancement.				

	Clause	Evidence for current compliance	Actions	Lead	Timescale
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	The standards expected of all <u>Researchers</u> are clearly set out on the advice provided by Research, Business & Innovation	To ensure that awareness of where to access this information is maintained through induction and the Researchers' Forum	Research, Business & Innovation	September 2012
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.	Research, Business & Innovation offer tailored support to researchers on <u>technology transfer</u> and other forms of knowledge exchange.	To ensure that awareness of where to access this information is maintained through induction and the Researchers' Forum	Research, Business & Innovation	December 2012
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	Specific processes relating to ethics and governance are comprehensively laid out including UWE code of practices for the conduct of research	To ensure that awareness of where to access this information is maintained through induction and the Researchers' Forum	Research, Business & Innovation + Faculty Research Committees	December 2012
5.4	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.	The Academic Career Pathways framework has this information clearly laid out as well as the criteria for progressing through the grades	Continue to raise awareness of the Academic Career Pathways and the Research Grading Review Panel with research staff	Human Resources	July 2012
5.5	Researchers should recognise that the primary responsibility for	The emphasis on proactivity by researchers regarding their own	Consider other mechanisms of encouraging research staff to	Researchers' Forum	September 2012

	managing and pursuing their career	career development opportunities is	be proactive in seeking out		
	is theirs. Accordingly, they should	one of the overarching themes of	career development		
	identify training needs and actively	the Researchers' Forum.	opportunities that are		
	seek out opportunities for learning		congruent with their		
	and development in order to further		aspirations.		
	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				
	supervision to attend appropriate				
	training and career development				
	courses and events.				
5.6	Researchers should ensure that their	Career development requirements	To consider how to embed the	Researchers' Forum	May 2012
	career development requirements	are an integral part of the	principle of time allotted to		
	and activities are regularly discussed,	Performance and Development	career development activity		
	monitored and evaluated	Review process.	within a researchers' contract		
	throughout the year in discussion		of employment		
	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.				
1	appropriater				

	E: DIVERSITY AND EQUALITY Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.						
	Clause	Evidence for current compliance	Actions	Lead	Timescale		
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 underrepresentation or lack of progression.	Human Resources have comprehensive information on all matters relating to <u>equality &</u> <u>diversity</u> and require an Equality Impact Assessment to be undertaken of policies and procedures, including recruitment, promotion and Research Strategy.	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		
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.	The <u>recruitment policy</u> operated is compliant with the relevant legislation and has been assessed for its equality impact. This has been published on the University intranet.	Update Equality Impact Assessment as required	Human Resources	December 2012		
6.3	It should be emphasised that the demanding nature of research	See above. Equality and diversity data <u>are monitored by the institution</u>	Continue to monitor research staff as a group with respect	Human Resources	December 2012		

	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.	in consultation with relevant staff network groups representing each equality group	to equality & diversity measures. Equality data is also published annually by the University.	Research, Business & Innovation (Research Strategy Equality Impact Assessment Group)	
6.4	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.	Flexible working arrangements are in place for all staff including research staff. <u>More info can be found here</u> The University also has a flexible working policy which is published by Human Resources.	None required		
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	See 6.4	None required		

	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 level should reflect the percentage	Gender, ethnicity and disability equality targets are monitored annually and reported to the <u>Equality & Diversity Forum</u> . Equality related information is published annually in the <u>University</u> <u>Staffing Compendium</u> .	Ongoing monitoring	Equality & Diversity Forum	December 2012

	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.	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 <u>Dignity at Work</u> 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 research careers.	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 including signing up to the Athena SWAN Carter	Human Resources	September 2012