Staffordshire University Gap Analysis and Action Plan, HR Excellence in Research award –2018

Principle1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research						
Ref	Clause	Evidence for Current Compliance	Actions	Responsibility	Period	Measures of success
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.	Staffordshire University's strategy 'Connected University' reinforces the University's commitment to research (see link here).	a. To provide Recruitment and Selection training for managers on judging research quality and understanding research metrics under the University's Organisational Development Programme.	HR&OD – Assistant Director	By Jan 2019	New recruitment and selection training package introduced and disseminated to all Deans and Heads of Department (21 staff). To increase our return in REF 2021 to 150 researchers (up from 80 in REF 2014).
		All University appointments follow robust recruitment and selection techniques which are designed to result in the best candidate for the post being appointed. This applies to all roles, including research roles.	b. To outline in the University Research and Innovation Strategy that all members of staff with an academic contract are expected to engage in research activity.	RIIS – Director of Research	By Summer 2018	
		Within the job description for all new lecturing posts it is outlined that "The duties of lecturing posts include participation in appropriate research and scholarly activity indicated in the research policy of the University. The extent of involvement in research and scholarly activity may vary with the balance between teaching, administration and research appropriate to particular posts."	c. To review the academic work loading model to provide appropriate time for staff with significant responsibility for research.	DVC/Deans	By Sept 2018	Agreed model for workload implemented through the PDR process.
		All academic posts are now advertised with the requirement to hold a PhD or have the equivalent professional standing. Within the person specification, the following criteria is essential; "A demonstrable record of	d. Details of all academic and research related posts advertised will include information about the research strengths, research environment and the research and innovation strategy of the university to	RIIS – Director of Research	By Jan 2019	Increase in doctoral level staff among those holding academic contracts to 50% by 2021. Information pack produced and circulated to all new

		engagement in research and/or scholarship as evidenced by publication in peer reviewed journals within area of specialism". Currently, 22% of the academic workforce hold doctoral level qualifications against a KPI of 50% by 2021.	ensure that research is prominent in the recruitment process for all academic appointments.			applicants from Jan 2019.

1.2	Recruitment & selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person & vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.	The University uses an electronic recruitment system for all posts. The system was originally designed with the support of the University's Equality and Diversity Team and their involvement was designed to ensure that a robust and fair procedure was in place. The University's commitment to fair and transparent staff recruitment is set out in the institutional Equality, Diversity and Inclusion Policy adopted in November 2013 (please see link here) For every post, the qualifications, skills and experience required are included as part of the person specification. The University will use targeted recruitment campaigns to attract a diverse pool of applicants.	a. To provide Recruitment and Selection training for managers on judging research quality and understanding research metrics under the University's Organisational Development Programme. b. Provide Equality and Diversity training for all staff. We are in the process of adopting a new EDI statement and policy framework and once agreed there will be new information available on the website. New online EDI induction modules will be part of this.	HR&OD – Assistant Director Head of Equality & Diversity	By Jan 2019 By Jan 2019	New recruitment and selection training package introduced and disseminated to all Deans and Heads of Department (21 staff). 100% new starters complete EDI induction training modules.
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded & justifiable reason.	All fixed term posts must be justified at the point at which they receive approval via the University's Vacancy Approval Process. Fixed term posts will only be approved where there is a justified business need (i.e. maternity cover, increased student recruitment, specific grant funded projects, etc.)	None identified	N/A	N/A	N/A
1.4	Recruitment & progression panels should reflect diversity as well as a range of experience and expertise. Members of recruitment and promotion panels	The University has set criteria for interview panels to ensure the appropriate mix of skills and experience, also taking account of gender balance. Unsuccessful shortlisted candidates may request feedback from the Chair of the panel following the interview.	a. Provide Recruitment and Selection Training for managers under the University's Organisational Development Programme. b. Recruitment panels to have at least one member with suitable research background and experience on every	HR&OD – Assistant Director HR&OD – Assistant Director	By Jan 2019 By Jan 2019	New recruitment and selection training package introduced and offered to all line managers. 70% of all managers to have undertaken one L&M development opportunity. Each panel has appropriate representation from

	should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested.	Non-shortlisted candidates may also be provided with feedback on request.		panel. The recruitment and selection pack sent to the interview panel for all academic appointments to include information on research requirements for new appointments to aid the panel in their decisions.				individual with research background and expertise.
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.	All roles within the University are job evaluated using the Higher Education Role Analysis process, which determines the grade for the role and ensures consistency against other roles in the organisation. The University has recently launched a Professorial Performance and Development Scheme that is used to determine the pay of professorial staff dependent on their level of research output across four tiers - Standard Professorial Level, International Excellence, Sustained International Excellence and World Leading.	a. Regularly review the pay and the grading structures to ensure consistency within the University and the wider HE Sector. b. Undertake a formal evaluation of the effectiveness of the new Professorial Performance and Development Scheme by September 2019.	HR&OD – Assistant Director HR&OD – Assistant Director	Annually – by the end of each academic year Sept 2019	Review outcomes published indicate alignment within the University and the wider HE sector. The new Professorial Performance and Development Scheme has measurable impacts on individual performance.

Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world class research.

2.1	Employers are encouraged to value and afford equal treatment to researchers, regardless of whether they are employed on a fixed term or a 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.	Researchers on fixed-term or similar contracts have access to the same conditions of service, career development and learning development opportunities as other members of staff. All researchers have access to University resources such as staff development and professional guidance, Library, IT, sporting and recreational facilities, together with annual leave, maternity and paternity leave, sick pay and pension provision. The University does not treat fixed term employees differently. The workforce planning system adopted by the University ensures that proper consideration is given to whether a contract should be fixed term or permanent. Staffordshire University seeks to give researchers stable employment wherever possible and when funding allows. The University's Academic Development Unit (ADU) directly supports the career and personal development of members of staff including researchers. The Unit offers guidance on the development opportunities open to staff and delivers a range of programmes, including leadership skills, academic and professional management development.	Take part in a future Careers in Research Survey (CROS) to undertake institutional review of support offered.	ADU	By July 2019	Survey completed leading to improved understanding and establishment of baseline position. Findings presented to RIC and HREiRA working group.
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	As described under 2.1, Staffordshire University is committed to providing equal treatment to all researchers. The University complies with all employment legislation including the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002). HR Business Partners monitor the continuing employment of all staff on fixed–term contracts, including researchers, and alert School Management Teams when action is required to ensure	a. HR Business Partners to regularly review fixed term contracts and to promote equal treatment for fixed term workers.	HR Business Partners	At least 4 months before the end of a contract and annually as part of business	Full adherence to the University practice and employment law.

						planning process	
	Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Joint Negotiating Committee for Higher Education Staff guidance on the use of fixed – term contracts will provide benefits for researchers, research	compliance with the legislation and University policies and procedures.					
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 Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of	There are a number of University structures to support research managers: All members of staff participate in the Performance and Development Review Scheme, which is focussed on identifying SMART objectives that align to the School/Service business plan and overall strategy, as well as identifying development and career aspirations. The University has recently launched a new Onboarding scheme, which includes attendance at a Corporate Onboarding Event for all new starters as well as a targeted local induction. This induction includes information on the research environment. Managers are provided support through an online toolkit.	a. Identify development opportunities for research staff under the University's Organisational Development Programme. b. Undertake and complete the mapping process of reviewing internal training provision against the Researcher Development Framework c. Implement an organisational mentoring programme.	HR Business Partners HR Business Partners and RIIS Director of Research RIIS Director of Research, Dean of Students	By Jan 2019 By Jan 2021 By Jan 2020	70% of all managers to have undertaken one L&M development opportunity Training provision offered delivers against all RDF requirements. Cohort of 25 trained mentors delivering mentoring support to academics across all schools.	

	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.	While the University does not have in place a formal institutional wide mentoring scheme, professors and associate professors are expected, as part of their responsibilities, to act as mentors and guides to researchers. As described under 2.1, support and training are available to researchers and research managers through the Academic Development Unit (ADU), HR&OD Development Programme and the RIIS Research Training Programme.				Improvement in environment score from an average of 1.83 across eight UoA's REF2014 to an institutional average of greater than 2.5 in REF2021.
2.4	Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it	Whenever possible, the University aims to provide continuity of employment for researchers. University policy governing the termination of fixed term contracts and the redeployment of personnel, applies to all staff, including researchers. As described under 2.2, HR Business Partners monitor the continuing employment of staff employed on fixed-term contracts and highlight any issues in their reports to School Management Teams. Where suitable candidates are available, vacant posts are advertised internally in the first instance.	None proposed.	N/A	N/A	N/A

	a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.					
2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and 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.	Clear career pathways exist to recognise research success. There are annual calls for professorial and associate professorial applications. These calls are supported by training and mentoring sessions and promoted to all university staff. Pay progression for all staff including researchers follows the National Pay Framework Agreement. As in 1.5 the University has a Professorial Performance and Development Scheme that enables pay progression for this group of staff and recognises high performers.	a. Gender Pay Gap data analysis, action plan development and implementation to be completed. b. Equality impact analysis for applicants and appointees through the Professorial Call Process	Head of Equality and Diversity RIIS Director of Research	By Jan 2019 By Jun 2019	Analysis completed and published and recommendations for improvement identified, including an action plan for implementation. Analysis completed and published and recommendations for improvement identified, including an action plan for implementation.

| 2.6 | Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies. | Staff development events relating to delivery of our academic strategy are open to all staff, including research staff, and are promoted through the University's Academic Development Unit. Details of the support offered by the Unit can be viewed on our intranet.

Research, Innovation and Impact Services (RIIS) run specific research development training through an annual Researcher Development Programme, a PGR Development Programme and a PGR Supervisor Programme. These events are delivered by internal and external experts and are designed on academic feedback to provide peer support on a range of issues to support research CPD activity including publishing, grant writing, mentoring, REF preparation, supervision skills and networking. These programmes are published on our staff intranet and promoted at the Research and Innovation Committee. These workshops are delivered on university premises in the working day, some sessions are recorded and available online for those unable to attend. PowerPoint slides and other materials are made available after the sessions.

Promotion opportunities, including professorships and associate professorships, are open to University staff, including researchers. The opportunity to apply for professorships and associate professorships is communicated via an all staff email and workshops are held for prospective applicants to outline the assessment criteria and provide advice and | a. HR, ADU and RIIS to work together to develop a centralised organisational development resource on the staff intranet for the promotion of professional development events and support.

b. Launch a Research Fellows Scheme, providing a mechanism for early career researchers to develop capacity and a support programme to advance their career, deliver research outputs and access resources including a funded PhD student and research expenses.

c. Evaluate the impact of the RIIS training programmes, undertake equality analysis of the participation of speakers and delegates, seek feedback from academic staff on the future programme schedule. Report findings and future strategy to the Research and Innovation Committee.

d. Through the Professorial Conferment Committee, deliver an evaluation of the application processes to review transparency of processes throughout. This will include an evaluation of interested applicants workshop attendees, applicants and successful candidates to ensure advertisement, recruitment and selection processes are transparent and non-discriminatory.

e. Develop an action plan for the promotion and roll out of the Vitae Researcher | HR&OD – Assistant Director

DVC

RIIS Director of Research

PCC to nominate representative

Undertake and complete the mapping process of | By January 2019

By Aug 2018

By Sept 2018

By Jun 2019

By Jan 2021 | Coherent package of training and development support across the University consolidated via one portal.

5 Research Fellows appointed for 2018/2019 academic year.

70% attendees identifying at least 'good' satisfaction levels for training sessions (based on the scale very poor, poor, fair, good or excellent).

Candidate and successful applicant profiles reflective of University community, 70% satisfaction levels on transparency and clarity of process.

Training provision offered delivers against all RDF requirements. |
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				reviewing internal training provision against the Researcher Development Framework		
		suggestions for improving chances for success. A commitment to promoting the professional development of researchers is a key feature of the University's Research and Innovation Strategy for 2018 - 2021 which is currently out for consultation.	Development Framework across the University. f. In future PDRs, the Professorial Conferment Guidelines will be provided as part of the review process to aid discussion on researcher development	reviewing internal training provision against the Researcher Development Framework		

Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.						
3.1	It is recognised that positions of permanent employment are limited in the UK research and academic communities and that 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	Currently there is a career path through the employment grades for researcher development. A research fellow (Grade 7) can progress to senior research fellow (Grade 8), and then to associate professor (Grade 9), and professor (Professorial Scale).	Launch the Research Fellows Scheme, providing a mechanism for early career researchers to develop capacity and a support programme to advance their career, deliver research outputs and access resources including a funded PhD student and research expenses.	DVC	By Aug 2018	5 Research Fellows appointed for 2018/2019 academic year.

	potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.				
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 research careers and that all career paths are valued equally.	Career development is supported through the institutional Onboarding programme, and the Performance and Development Review (PDR) Scheme. Within Schools researchers are encouraged to network and forums have been established that enable staff at the start of their research careers to discuss their aspirations, interests and work, as well as through the PDR process.

As described in 3.1, there is currently a distinct progression pathway for researchers. There is flexibility to move from this pathway to the research and teaching pathway. | To review the Careers Service provision for career advice for PhD Students, early career researchers and those looking to move into a research career. HR to identify gaps in support. | Head of Student and Graduate Employability | By Jun 2019 | Identified information and support for PGR and researcher career development support in Careers Service.
1 career development workshops delivered per year for PGR and ECRs. |

| 3.3 | Employers, funders and 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 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 University views the adoption and use of the RDF as a key vehicle to deliver transferable skills to researchers, including early career researchers and research degree students. The University has subscribed to the online RDF planner and promotes managers, supervisors, researchers, early career researchers and PGR students to the value of the RDF as a vehicle for the delivery of transferable skills.

The RDF is promoted through an annual training event for PhD students and raised at PGR induction.

Every member of staff takes part in the PDR scheme, which offers a formal opportunity to discuss skills and individual development. Evidence on research output and grant income performance forms part of this review.

Across the Institution, there are examples of good mentoring practice to support researcher's internal networks and support systems.

The annual Research Conference and PGR Conference provide an opportunity for researchers to develop their presentation skills in a safe and supportive environment.

The Professoriate (including professors and associate professors) meet regularly to discuss research policy issues around research strategy, delivery and support for early career researchers. | a. To raise awareness of the RDF as a vehicle for delivering transferrable skills and encourage the greater use of the RDF as a training and development tool through:
b. Identification of how the RDF can be mainstreamed into academic staff development activities. Delivery of a workshop on the RDF for staff as part of the RIIS Research Training Programme.

c. The University will consider taking part in Vitae's Preparing for Leadership for Research Staff programme and will engage with the programme at a regional level.

d. To review the Careers Service provision for career advice for PhD Students, early career researchers and those looking to move into a research career.

e. The annual PGR Conference will include a seminar on research career pathways. This will include potential pathways in academia and in industry, as well as how research skills can be transferred to other sectors. This will provide a range of information and options to PGR students. | RIIS Research Director

Dean of Students, HR&OD – Assistant Director

Head of Student and Graduate Employability

RIIS Director of Research | By Dec 2019

By Jan 2019

By Dec 2019
By 2020

By Jun 2018 | Access to RDF Planner by 500 individuals by Dec 2019.

Delivery of workshop on RDF for staff to 100 staff by Dec 2020.

Decision on participation in programme.

Identified information and support for PGR and researcher career development support in Careers Service – 1 training session per annum delivered.

Good satisfaction level by at least 70% attendees at workshop (based on the scale very poor, poor, fair, good or excellent). |

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.	Career management guidance is available through the University's Career Service and HR & OD. Research skills and training events are open to researchers and promote awareness of other fields or sectors.	None identified	N/A	N/A	N/A
3.5	Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and	The Performance Development Review (PDR) process run by the University will encourage researchers to make informed decisions about their career progression and put in place training and development plans to support development and progression.\n\nThe University has published guidelines which define the level of achievement required for promotion to professor or associate professor and there is an annual call for professors and associate professors. Workshops are held to raise awareness of the detail of the policies and processes, as well as discussing the requirements needed to meet the conferment criteria.	a. Research career development pathways articulated on staff intranet and case studies of individuals who have developed their research career to be provided on career development.\n\nb. Research career development workshops ran to raise awareness of opportunities and requirements for research careers in academia and industry and how research skills can be transferred to non-research related jobs.\n\nc. In future PDRs Professorial Conferment Guidelines will be provided as part of the review process to aid discussion on researcher development	RIIS Director of Research	By Dec 2018\n\nFirst workshop by 31/12/18	Process published and available and five case studies available on website / intranet.\n\nGood satisfaction level by at least 70% attendees at workshop (based on the scale very poor, poor, fair, good or excellent).

	that all researchers are aware of local and national career development strategies.					
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.	The University holds a quarterly Corporate Onboarding event for new starters which includes an overview of research, as well as a mandatory training package. The induction programme includes equality and diversity awareness. In addition to the University-wide induction programme, there is a local induction package, and managers can access an outline toolkit for further advice and support. Students enrolled on postgraduate research degree programmes receive induction from their supervisors, from the Graduate School and through the Researcher Development Programme.	a. A mandatory Equality Diversity and Inclusion e-learning module will be developed. b. A briefing document on developing a research career path at Staffordshire University will be provided to new starters.	Head of Equality and Diversity RIIS Director of Research	By Jan 2019 By Dec 2018	100% new starters complete EDI induction training modules. Pack available on intranet and disseminated to all new starters as part of onboarding resources.

| 3.7 | Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students. | Details of professional training and other development opportunities are available from the University's staff intranet.

Early Career Researchers are encouraged to join research degrees supervisory teams by undertaking and completing a supervision programme recognised and run by the University. The programme is open to members of staff who aspire to supervise at doctoral level but lack supervision experience. To encourage participation, much of the programme is delivered through distance learning. Training and development needs are identified through the appraisal process (PDR) and the parties involved jointly agree an action plan to address the development needs.

Doctoral supervision training for experienced supervisors is also provided to ensure that supervisors remain abreast of latest practice and changes in regulations.

Workshops are ran for staff looking to pursue a PhD to support their research progression. All professors and associate professors are expected to provide research mentoring for early career researchers and provide opportunities for joint publication, supporting research grant applications and delivering seminars.

At our annual Research Conference Programme, all staff are encouraged to present the outcomes of their research in a safe and supportive environment to develop presentation skills, provide opportunities to engage in academic | a. Explore participation in the Preparing for Leadership for Research Staff programme.

b. Evaluate the impact of the RIIS training programmes, undertake equality analysis of participation of speakers and delegates, seek feedback from academic staff on the future programme schedule. Reporting findings and future strategy to the Research and Innovation Committee.

c. Develop cross-University Research Mentoring training programme. | RIIS Director of Research, Dean of Students

HR & OD RIIS Director of Research

RIIS Director of Research, Dean of Students | By Jan 2019

By Sept 2018

By Jan 2020 | Decision on participation in programme.

70% attendees identifying at least 'good' satisfaction levels for training (based on the scale very poor, poor, fair, good or excellent).

Cohort of 25 trained mentors delivering mentoring support to academics across all schools. |

		debate, receive and respond to critical feedback and establish new internal interdisciplinary networks. The Research Fellows scheme due to be launched will provide individuals with a small research budget and a funded PhD student to provide experience of managing small resources to support research activities. Senior researchers have the opportunity to organise research groups and research centres to support the development of staff, arrange workshops series and programmes of research activity.				
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	Professors, associate professors and senior researchers are expected by the University to mentor early career researchers and post-doctoral researchers. All approved Research Centres are required to identify mentoring opportunities and outline how they will support Early Career Researchers. Across the Institution, there are examples of good mentoring practice which the University recognises and endorses. Researchers who seek promotion to management positions can join the University's Academic Leadership programme which is delivered through the ADU (see link here).	a. Undertake and complete the mapping process of reviewing internal training provision against the Researcher Development Framework b. Develop cross-University Research Mentoring training programme. c. Provide a briefing document on research career pathways for new starters as part of the induction process.	HR Business Partners and RIIS Director of Research RIIS Director of Research, Dean of Students RIIS Director of Research	By Jan 2021 By Jan 2020 By Dec 2018	Training provision offered delivers against all RDF requirements. Cohort of 25 trained mentors delivering mentoring support to academics across all schools. Pack available on intranet and disseminated to all new starters as part of onboarding resources.

	be familiar with such provisions and arrangements.				
3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as possible within the project. It should be stressed that development 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 skills and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that training of researchers is a significant	The University supports principle 3.9 and through the Performance and Development Review process, which enables a discussion between the researcher and the supervisor to identify CPD activity. Within Schools, support is available to early career researchers and postdoctoral researchers on key developmental issues such as writing for publication and securing external funding for research projects alongside an annual training programme which covers these issues. Professors and associate professors play an important role in guiding researchers to appropriate forms of CPD support.	a. We will commence an annual report on CPD participation at the end of each academic year b. Evaluate the impact of the RIIS training programmes, undertake equality analysis of participation of speakers and delegates, seek feedback from academic staff on the future programme schedule. Reporting findings and future strategy to the Research and Innovation Committee.	RIIS Director of Research RIIS Director of Research	By 2019 By Sept 2018	10% growth in participation year on year. 70% attendees identifying at least 'good' satisfaction levels for training (based on the scale very poor, poor, fair, good or excellent).

	contribution to research output and they encourage employers and mentors to adopt these practices.					

Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.						
4.1	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 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	The new Performance and Development Review Scheme, recently adopted by the University ensures that the professional performance of members of staff including researchers is assessed and development needs are identified.

Although the University does not have an institutional-wide mentoring scheme, mentoring networks are in place and researchers can access a mentoring guide which explains the nature of mentoring and what it involves, highlights the value and importance of mentoring and offers guidance on how to develop effective mentoring relationships. All staff, including researchers, are offered opportunities to develop their careers. Management development support is available through the Leading Academics programme delivered through the ADU. Researchers are encouraged to take part in internal and external professional development events, including meetings and activities organised through the Midlands Vitae network. | Develop cross-University Research Mentoring training programme. | RIIS Director of Research, Dean of Students | By Jan 2020 | Cohort of 25 trained mentors delivering mentoring support to academics across all schools. |

	transparent advice on their prospects for success in their preferred career.				
4.2	Employers will wish to ensure that development activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not duly disadvantaged when moving from one employer to another	Through the University's Academic Development Unit and Graduate School, researchers can access the following programmes which are designed to encourage the development of academic practice: Postgraduate Certificate in Higher and Professional Education (PGCHPE), a 60 credit level 7 award aimed at both new and experienced staff involved in facilitating learning in a Higher Education setting. The course provides an introduction to ideas and theories which will enable members of staff to plan, implement and assess learning and teaching activities. The course is accredited by the HE Academy (providing a route to Fellow of the HE Academy) and the Staff and Educational Development Association. Research Supervision Programme aims to help supervisors develop the skills required to effectively support and direct postgraduate research. The Leading Academics programme is aimed at members of staff who currently have a management role, or who aspire to take on management responsibilities for an academic team. It is designed to equip academic managers with the skills, knowledge and contextual awareness to be able to perform effectively within their roles. In addition to the above, researchers can take part in Open Programme sessions, a series of practice based workshops. Researchers can secure details of these programmes through the web pages maintained by the ADU (see link here).	As outlined in 4.5 a new mentoring scheme will be established			

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.	All new and current teaching staff in the University, are supported to undertake the Post Graduate Certificate in Higher and Professional Education (PgCHPE). All academic staff are supported in achieving Fellowship of the HEA (Higher Education Academy). Post Graduate Researchers in receipt of a University studentship or bursary are required to provide six hours' teaching or demonstrating each week. Supervisors should ensure that the researchers concerned are properly equipped and supported. All research degree students involved in delivering courses at Staffordshire University will receive training and support towards appropriate teaching accreditation.	Continue good provision	HR&OD	Ongoing throughout the academic year	100% of academic staff will have a HEA fellowship by 2021.
4.4	Employers/researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation & management committees.	Researchers are encouraged to take an active part in the work of University Committees and School research management groups. PGR students deliver a Steering Group to support Graduate School activities and also support the arrangement of the annual PGR conference. We have ECR and Student Union representatives on the University Research and Innovation Committee to ensure ECR views are considered in all policy and strategy discussions. All staff have an opportunity to comment on any new or revised people management policies or practices as part of the staff consultation process. Our Professoriate meet regularly (including professors and associate professors) and are used to consult on university policies. All staff have the opportunity to become elected representatives on Academic Board and the organisational Board of Governors.	None proposed.	RIC to review activities on a biennial basis as part of Committee review process	At the end of academic year	Ongoing delivery of activities, biennial review.

4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement	The University recognises the value of mentoring and supports a range of mentoring opportunities, particularly for staff at the start of their research careers. Some Schools and Departments have put in place their own mentoring schemes to support the career and professional development of researchers. A guide to good mentoring practice has been developed by the HR & OD and the guide is used as a checklist against which local schemes can be mapped.	Develop cross-University Research Mentoring training programme.	RIIS Director of Research, Dean of Students	By Jan 2020	Cohort of 25 trained mentors delivering mentoring support to academics across all schools.

Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.						
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers	Evidence of the University's application of Principle 5.1 is shown by the following : Support and encouragement for Early Career Researchers to publish their outputs, Annual Conference for research students, supervisors and staff. Annual Staff Research Conference. We have opportunities for staff to propose their own groups and research centres and expect these to deliver research seminar series and processes to support the career development of early career researchers. We have a peer review process for all grant funding applications to receive internal critique and feedback. We offer training for researchers to become internal examiners for PhD vivas as well as training sessions for PhD viva Chairs. Researchers are encouraged to attend training to join the College of Ethical Reviewers, enabling them to review research ethics applications.	Researchers will be asked to propose a PhD project they are willing to supervise and the University will provide central support to advertise these.	RIIS	By 2019	50 PhD projects advertised.
5.2	Researchers should develop their ability to transfer and	Through the University's Research Innovation and Impact Service, researchers receive advice and encouragement to apply for third stream funding. The Research Environment and Development Team offer face-to-face guidance on the preparation of applications and seek	a. Monitor practice across Schools and ensure that examples of good	RIIS	By 2020	Increased number of people leading a bid to 100 (from 80+ in 2017/18) 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	to engage researchers in the external bidding process. The team also monitors the progress and success of external funding bids and gives feedback to researchers on the outcome of applications. Within the Employer Partnerships department, expertise is available on the commercial exploitation of Intellectual Property, utilisation of knowledge to demonstrate impact and support to identify links to businesses to collaborate in research. The University has a strong record of working with industry and business on a range of knowledge transfer activities and there is considerable scope for researchers to take part in KTP, innovation and consultancy work. Investigation of the commercialisation of research is a key priority for Employer Partnerships, with policies and processes reviewed by a new Income and Commercial Exploitation Board led by the Chief Financial Officer. There are examples of researchers exploiting their expertise and knowledge by establishing spin- out companies.	practice are more widely shared through briefings, workshops and blogs. b. We will develop and publish a University's IPR and Commercialisation policy.	 DVC	 July 2018	achievement of University plan commitment to increased research income. Growth in IP and Commercial Income
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.	The University has endorsed the Concordat to Support Research Integrity, has mapped the Concordat against existing Institutional policies and processes designed to sustain and promote research integrity. An action plan has been produced which is currently being discussed with the University's research community. It is likely that many of our policies and processes will be reviewed and amended as a result of the adoption of the action plan. Through the University Research Ethics Committee an on-line training programme on ethics and research integrity will be delivered to all staff, with workshops available for individuals interested in joining the College of Ethical Reviewers, as well as ongoing training for those who already review ethical applications. Guidance on research ethics and integrity is available online on our staff intranet and publically accessible website. Part of the guidance available to staff includes a Code of Practice for Research and Enterprise (see link here) which includes a statement describing how the University would investigate allegations of research misconduct.	a. Complete the adoption of the Action Plan, Review Code of Practice and Research Misconduct Statement and monitor uptake of ethics training. b. A probation period for all new staff will be introduced to properly manage the expectations both of the researcher and the institution in the	University Ethics Committee HR & OD	By Jun 2018 By August 2018	70% staff participate in online ethics training. Increase in staff participating in Ethics College of Reviewers from 65 to 80 and ensure appropriate proportions of disciplinary expertise. Introduction of probation period for 100% of all new academic appointments.

					early period of their employment.			
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 PDR process adopted by the University provides an opportunity for researchers to discuss their performance and career development with their line managers and senior academics. The University has adopted role descriptors for lecturer, senior lecturer, associate professor and professorial posts which summarise the skills and level of experience required. See 3.7 for the support measures available to assist with this.	None identified	Line managers	Annual and 6 monthly reviews at start and mid point of academic year	90% completion of PDR.
5.5	Researchers should identify training needs and actively seek out opportunities for learning and development. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to	3.7 provides details of the range of training and support measures available to researchers. All researchers are encouraged to be proactive in their development, this is formalised through the annual PDR processes where commitment and participation in professional development is sought.	a. Review professional development participation rates.	Line managers	By July 2020	Increased participation in professional development, growing by 10% year on year.

	manage their own careers.					
5.6	Researchers should ensure that their career development requirements & activities are regularly discussed, monitored & evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities.	All members of staff participate in the Performance and Development Review Scheme, which is focussed on identifying SMART objectives that align to the School/Service business plan and overall University Research and Innovation strategy, as well as identifying development and career aspirations.	a. Review the provision of skills development for researchers.	Line managers	By July 2020	Increased participation in professional development, growing by 10% year on year.

Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.						
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 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.	The University has an Equality, Diversity and Inclusion Policy as well as Equality Objectives. These can be found on the Diversity web page (see link here). In addition, each School and Service has an equality action plan and a range of equality training is provided. There is compulsory equality induction for all new staff, including equality on-line training and the local induction includes equality issues. The Good Manager Toolkit provides guidance for managers on a wide range of topics. The Equality and Diversity website also provides resources to assist managers. (see link here)	Use a future Careers in Research Survey to check whether respondents felt that they had been treated in line with equality & diversity principles. Revised Equality Diversity and Inclusion Statement, Framework and Objectives will be available following approval in Spring 2018. This will set out our overall approach and an accompanying action plan	HR&OD – Assistant Director	By Jan 2021	Survey completed leading to improved understanding and establishment of baseline position. Findings presented to RIC and HREiRA working group.

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 from the widest pool of available talent, including those from diverse backgrounds.	All appointments to the University are on the basis of robust recruitment and selection techniques resulting in the best candidate for the post being appointed. This applies to all roles within the University including Research roles. The University uses an electronic recruitment system providing a transparent and informative process for all posts. Equality & Diversity have been involved in the implementation of the system to ensure robust procedures are in place. Job descriptions and person specifications are relevant to the role and form the basis for shortlisting. All researcher roles are advertised as widely as possible; on our web site, on jobs.ac.uk and, if relevant, in specific journals related to the role. The University plans to secure Athena SWAN Bronze recognition.	Achieve Athena SWAN Bronze recognition. There will also be specific actions in relation to recruitment and selection practices including training for colleagues on recruitment panels e.g. Unconscious Bias training. This work will also be supported by our Gender Pay action plan and Monitoring of equalities impact and data at recruitment.	DVC	April 2020	The achievement of Athena SWAN Bronze recognition.
6.3	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	The University's Equality, Diversity and Inclusion Policy specifically refers to the equitable treatment of all staff. We have guidelines in place and training has been undertaken to ensure that all managers understand the importance of equality analysis, (see link here). In preparation for REF 2014, part of our work in developing our Code of Practice was to carry out an Equality Analysis at the start of the process and in the final stages to ensure equality issues had been taken into account.	a. A revised Equality Impact Assessment process has been developed. This is part of our overall Equality Diversity and Inclusion Framework and Quality Assurance	Head of Equality and Diversity	Process in place by May 2018	We are able to identify and address any disincentives and indirect obstacles to retention and progression in research careers. Guidance information is available and accessible to all staff on the staff intranet. Training is delivered to all six School Senior Management Teams.

	and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.		arrangements. Guidance information and e-learning training will be available.	Director of Research Head of Equality and Diversity	By 2020	Code of practice is adopted by the University through consultation and is approved by the REF Equality and Diversity Advisory Panel (EDAP). This gives clear guidance on supporting equality and inclusion in research. University's return to REF2021 is fully representative of the research community.
			b. Part of our code of practice for REF2021 will outline our approach to equality and diversity.		By 2019	
			c. We will undertake an equality analysis of our professorial and associate professorial applications.	Director of Research Head of Equality Diversity	By 2019	Report produced to identify baseline and inform future targets.
6.4	Employers should ensure that the working conditions for researchers provide the flexibility	The University supports this principle and has a range of family friendly policies including flexible working, which is available for all staff. The following policies are in place: Special Leave Policy, Flexible Working Policy, Maternity Leave, Paternity Leave, Shared Parental Leave Policy, Intention to take Additional Paternity Leave for Adoption, Parental Leave, Adoption Leave.	Monitor the effectiveness of the policies and take forward actions arising from our Gender Pay Gap analysis	HR&OD – Assistant Director Head of Equality and Diversity	By March 2019	Equality impact analysis of annual Professorial Call process conducted. All members of the Professorial Conferment Committee (PCC) undertake unconscious

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.		to address any gender or systemic issues in career development.		bias and stereotyping training. One workshop held for former applicants to identify issues and barriers.

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.	The University has a flexible working policy that is open to all staff. All requests must be carefully considered in line with the needs of the school or service. The University would always try to avoid turning down flexible working unreasonably, but there is a route for appeal should a member of staff be dissatisfied.	Monitor the effectiveness of the policies and take forward actions arising from our Gender Pay Gap analysis to address any gender or systemic issues in career development. Planned CROS survey will establish current baseline of effectiveness of these policies to set future measurable success factors.	HR&OD – Assistant Director Head of Equality and Diversity	By 2019	Research staff are aware of family friendly and flexible working arrangements and are accessing these where desirable.
6.6	Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality and guidance, for example in their provision of additional funding and duration of grant to cover paternity and	As described in 6.4 the following policies are in place to support: Special Leave Policy, Flexible Working Policy, Maternity Leave, Paternity Leave, Shared Parental Leave Policy, Intention to take Additional Paternity Leave for Adoption, Parental Leave, Adoption Leave.	Monitor the effectiveness of policies to address any gender or systemic issues in career development.	HR&OD – Assistant Director Head of Equality and Diversity	By 2019	Research staff are aware of family friendly and flexible working arrangements and are accessing these where desirable. Establish baseline for adoption.

	adoptive leave as well as maternity leave				
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,	The University's Equality Objectives and KPIs both include targets for better staff representation in specific areas. Our Personnel action plan specifically addresses these issues. Where possible, all selection panels have an appropriate balance regarding equality characteristics. We monitor the University's Equality Objectives and KPIs, with a view to amending the HR Action Plan.	The revised Strategic Equality Framework, Equality Statement, Strategic Objectives and associated action plans set out our approach to inclusion. These ensure that we have a diverse workforce, reflecting national demographic data and that staff from all backgrounds feel supported and enabled to achieve their potential. In particular we are taking forward the Athena Swan Charter Mark, the Race Equality Charter Mark and delivering our Gender Pay Gap action plan	HR&OD – Assistant Director Head of Equality and Diversity	By 2020	The organisation demonstrates any necessary improvements to ensure a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level compared to the Gender Pay Gap baseline data for 2017-18.

	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.		following analysis of our pay and reward system.		
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples include researchers with responsibility for young children or adult dependants, researchers for whom English is not a first language, older/ younger researchers, or researchers with disabilities and long-term health	The University will amend policies and processes if they disadvantage groups of staff. All policies undergo an equality analysis when they are developed or reviewed. Guidelines are available and training has been undertaken to ensure that all managers understand the importance of equality analysis (see Equality Analysis link here)	Monitor Equality Analysis. A revised Equality Impact Assessment process has been developed. This is part of our overall Equality Diversity and Inclusion Framework and Quality Assurance arrangements. Guidance information and e-learning training will be available.	HR&OD – Assistant Director Head of Equality and Diversity	By 2019	We identify and address any disincentives and indirect obstacles to recruitment, retention and progression in research careers. Guidance information is available and accessible to all staff on the staff intranet. Training is delivered to all six School Senior Management Teams.

	issues. Employers or funders should change policies or practices that directly or indirectly disadvantage such groups					

Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.						
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 Research and Innovation Committee (RIC) will continue to oversee compliance with the Concordat and will maintain and review the Action Plan, supported by a HREiRA Working Group.	Maintain and review the Action Plan	RIC	On-going	The Research and Innovation Committee (RIC) will continue to oversee compliance with the Concordat and will maintain and annually review the Action Plan, supported by a HREiRA Working Group.
7.2	The signatories agree: a) to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including	Noted	Formal establishment of HREiRA Working Group	RIC	Clear progress reports supported to RIC on progress towards Action Plan objectives	Noted

	the professional institutions. This Group will inform the UK Base Funders' Forum b) to procure an independent benchmarking study to assess the sector at the launch of this Concordat, c) to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report, d) to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as CROS, e) to undertake and publish a major review of the implementation of the Concordat after three years, reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector)					
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.	Not applicable				
7.4	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	Not applicable				
7.5	The signatories recognise the value of innovation in practices and of sharing	Engagement in Vitae and sharing of best practice through other professional	Attendance at Vitae conference and	RIC staff, HR colleagues	Ongoing – reviewed at	Staff attendance at events documented

	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	development forums has been identified in the PDRs of key support staff.	participation in Vitae working groups	Quarterly working group	and best practice shared through written reports.
7.6	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 sources and on the sharing of good practice between institutions and to provide evidence of its impact	The University's Equality, Diversity and Inclusion Policy specifically refers to the equitable treatment of all staff. We have guidelines in place and training has been undertaken to ensure that all managers understand the importance of equality analysis, (see link here).	A revised Equality Impact Assessment process has been developed. This is part of our overall Equality Diversity and Inclusion Framework and Quality Assurance arrangements. Guidance information and e-learning training will be available.	Head of Equality and Diversity	Process in place by May 2018	We are able to identify and address any disincentives and indirect obstacles to retention and progression in research careers. Guidance information and e-learning training is available and accessible to all staff.