TOWARDS HR EXCELLENCE IN RESEARCH:

Concordat Implementation: Gap Analysis and Action Plan

March 2016

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CONTEXT

University of the West of Scotland (UWS) has long had in place a range of policies, procedures and support for staff and students consistent with the provisions of the Concordat to Support the Career Development of Researchers (Concordat). The following documentation presents the first gap analysis undertaken during 2015 to benchmark UWS against the Concordat. It details an evolving UWS approach towards implementation of the seven Principles of the Concordat and includes an action plan which will be monitored and reviewed three times per annum over the next two years to ensure progress and delivery of the stated actions. This document also constitutes the UWS application for the European Commission HR Excellence in Research award.

The UWS Corporate Strategy clearly identifies UWS intentions to achieve new heights in research excellence and enterprise success, along with an increase in income associated with both. Developing a culture where people are supported to be highly motivated, creative and collaborative is a key theme of the Corporate Strategy borne out in our institutional truths. Whilst we are gaining momentum as a University, it is essential that we enhance our research and enterprise outcomes, improve our research and enterprise culture, develop our research and enterprise infrastructure and prepare our University and our people for the global challenges of the 21st century. UWS aims to achieve its strategic ambition through its people and is committed to recruiting and supporting researchers to achieve excellence in their discipline or projects. The continuous development of research staff is crucial to achieving the various key performance indicators underlying the strategy and UWS is promoting the Concordat as a framework for good practice for the management of all researchers and their careers.

UWS CONCORDAT IMPLEMENTATION STEERING GROUP

Direct responsibility for implementing the Concordat at UWS is placed with Professor Ehsan Mesbahi, Vice-Principal Research and Enterprise. Prof Mesbahi chairs the UWS Concordat Implementation Steering Group, formed in 2015 to provide advice and supports the implementation of the UWS Concordat action plan.

The Steering Group ensures UWS is fully committed to the seven key principles of the Concordat. Membership includes research leaders, early career researchers, the Graduate School, People & Organisation Development, Research Services and the Career Service. The Group meets three times per year and reports annually to the University Research and Enterprise Advisory Committee. There is crossover with the membership of the UWS Athena Swan Self Assessment Team to ensure alignment of activities where appropriate.

The Steering Group is responsible for:

1. Advising on the implementation of the Principles of the Concordat to Support the Career Development of Researchers, revising the action plan on an ongoing basis.

2. Reviewing and advising on the documentation developed in support of the ongoing achievement of the 'HR Excellence Award'.

3. Reviewing the results of relevant surveys including the bi-annual staff engagement survey and the CROS and PIRLS surveys to ensure they inform the action plan.

4. Reporting to Research and Enterprise Advisory Committee its findings in respect of one above.

5. Reviewing and monitoring the UWS Concordat action plan to ensure achievement of the milestones and to identify synergy with the University's Athena SWAN submissions.

6. Promoting best practice in the support of researchers across all areas of the University.

METHODOLOGY FOR REVIEW

The UWS action plan has been developed by a working group overseen by the Concordat Implementation Steering Group established in 2015 and led by the Vice-Principal for Research and Enterprise. The gap analysis and development of the 2016-2018 action plan against the Principles of the Concordat was conducted in 4 concurrent phases between April 2015 and February 2016.

1. The UWS Research and Enterprise Advisory Committee, which reports to the University Senate, affirmed the commitment of UWS to the Concordat and agreed to establish the Concordat Implementation Steering Group in 2015 and to make it a permanent sub-group reporting to the Committee.

2. An analysis of current HR policies and procedures affecting research staff was conducted to identify the progress towards compliance with the Concordat and examples of good practise were noted. Gaps in provision were used to identify key actions for revisions and/or further work to be undertaken.

3. Feedback on progress against the Principles of the Concordat was sought from research staff through surveys, interviews and focus group sessions. To build on the responses to the all staff 2014 bHeard staff engagement survey (1104 responses, 73% response rate, 61%F, 39%M), researchers were invited to participate in the CROS 2015 and PIRLS 2015 surveys, as collectively these data indicate progress on implementation of the Concordat. The survey responses informed the development of focus group questions to explore emerging issues. Focus groups ran over November and December 2015 and staff across all research career stages were invited to join the discussions. The feedback has been incorporated into the action plan as evidence of current practice and actions where appropriate.

4. A communication plan to raise awareness of the Concordat has been developed. The CROS and PIRLS survey results indicated that awareness of the Concordat and the Vitae Researcher Development Framework was low across all researcher levels. The aim of the communication plan is to build awareness of the UWS commitment to the implementation of the Concordat and Vitae who provide support online and information, advice and resources for researchers on careers

and professional development. In January 2016, UWS affirmed its commitment to the Concordat at the 2016 Annual Research Conference for academic and research staff. Led by the Vice-Principal for Research and Enterprise, the focus was firmly on the professional and personal development of research staff under the theme, "Developing Research Talent in a Modern University", this conference served as both a communication platform and a further opportunity to engage the research community (180 delegates representing almost one third of academic and research staff) to deliberate on the priorities for UWS in making a commitment to people and thereby improving the research environment at UWS. The communication plan will engage with stakeholders via articles in the UWS e-bulletin, distribution of career development resources by email, banner advertisements and information pages on both the staff intranet and public website.

PROGRESS TO DATE AND KEY ACHIEVEMENTS

Research Mentoring

Launched in November 2015, the Research Mentoring Network aims to provide a forum in which research and academic staff can talk about their careers and share their experiences and the challenges they are facing with more experienced colleagues. The scheme is open to all research and academic staff in the University on a voluntary and confidential basis. A bespoke area of the staff intranet has been developed with resources and a facility to support the pairing of mentors and mentees. Mentors enter their skills and expertise in the Mentor Enrolment Form and mentees enter the skills and expertise they are looking for in the Mentee Enrolment Form. Mentees should contact mentors directly to arrange an initial meeting. This is a pilot, with the aim that all staff should have the opportunity of a mentor. To date a number of mentors and mentees have registered and the University has a commitment to offer 100% of mentees a mentor.

P&DR – Performance Management Project

The University has an established Performance & Development Review process. However, evidence from the CROS survey and from our recognised employee engagement survey bHeard confirms that this process is not universally applied or appreciated across the institution. As a result, a working group consisting of both professional services and academic colleagues has been established to review the current process and to develop a process that is a clear, concise, inclusive and a meaningful approach to performance management and development. A model has been developed to support this goal and is attached as Appendix 1 and is subject to consultation and piloting in the first instance.

The progress is reported through the bHeard Steering Group which is sponsored by the Depute Principal and the Director of People & Organisational Development and it is expected that a revised process is presented at the next meeting held in March 2016.

The pillars of success to the revised Performance Management and Development framework are considered to be:

- A meaningful process that moves from paper-based to online

- Define individual performance linked to corporate/departmental/school/team plans

- Develop employee skills and knowledge through continuous professional learning

- Regular 'light-touch' conversations providing positive feedback and recognising areas of improvement quickly

- A process recognising individual employee needs and career aspirations

- A process that encourages genuine two-way feedback

It is recognised that in order for the new framework to be embedded, a tailored programme of support and development must also be launched that supports both the reviewer and the reviewee in the process. This will need to establish a culture of empowerment and ownership of performance and individual development and career progression.

Research Staff Induction

CROS survey results indicated that the institution-wide induction programmes were not perceived to be useful. The focus groups provided an opportunity to discuss the improvements required to provide an effective induction programme for researchers. The result is a new initiative, the Research Staff Induction, focused on staff new to being an independent researcher. The main objective is to help new members of staff to settle in at UWS and understand their responsibilities as researchers and where support is available. The programme is targeted at researchers (research fellows, research assistants) who have joined the University within the previous 6 months and welcomes any researcher or academic who wants to learn more about research at UWS. Presenting an overview of support for research and enterprise activities including help with funding applications, development of impact, commercialisation of research, research supervision, research governance and ethics, and award management. This programme also outlines the UWS support to help staff with their personal and professional career development.

Researcher Development Programme

The University offers a wide range of training and development opportunities to support research staff to extend their professional skills and knowledge. They are delivered by a range of training providers including People & Organisation Development, Research Services as well as the Graduate School Researcher Development Training Programme opportunities, much of which is also relevant and available to research staff.

Funder visits and short courses take staff through topics ranging from writing research proposals, managing projects, building effective collaborations and an international profile, dissemination, publishing and impact. Academic writing retreats have been offered to staff in the previous two years and in academic year 2015/2016, Research Services took a targeted approach to and identified a cohort of 40 research staff, offering them an introduction to academic writing workshop and follow-up residential retreat. Writing support groups are also being developed within Schools for total support but feedback emphasises the benefit of dedicated time afforded by off-campus residential sessions.

Next steps

Our priority is to continue to promote awareness of the Concordat, the respective responsibilities or researchers and their managers and encourage uptake of induction and staff review and development for research staff. We must also monitor perceptions of quality of induction and career management review. Work that needs to be undertaken is further detailed in the UWS Concordat Action Plan.

Recruitment and Selection

Principle 1: *'Recognition of the importance of recruiting, selecting & retaining researchers with the highest potential to achieve excellence in research'*

Principle point		Evidence of current practice	A No.	Actions & Success Measures	Named unit with lead responsibility and showing other units who will support actions	When
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.	The University's Corporate Strategy specifically recognises research, enterprise and engagement as a strategic enabler for achieving our vision, this can be viewed at **Corporate Strategy 2014/20** The **Research and Enterprise Enabling Plan** clearly identifies our intentions to achieve new heights in research excellence and enterprise success along with an increase in income associated with both.	1.	The University Court will monitor closely the progress against Key Performance Indicators.	University Court	Meetings held 3 times per year
			2.	Provide a range of training and peer-to-peer support to assist 100% of new academic staff to contribute to peer reviewed outputs by AY 19/20 and measure progress towards this target annually.	Research and Enterprise Committee	Meetings held 3 times per year
			3.	The University Research and Enterprise Advisory Committee (REAC) will monitor closely the implementation of the Research and Enterprise Enabling Plan. The Concordat Implementation Steering Group is a formal sub-committee of REAC.	Vice-Principal (R&E)	Meetings held 3 times per year
1.2	Employers should strive to attract excellence and respect diversity. 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 those requirements should be relevant to the	Currently have a Recruitment & Selection Policy approved in 2009 in place and available via the intranet HR Policies. The current Recruitment & Selection Policy identifies that in order to meet the University's strategic objectives and contribute towards the achievement of its goals, the University identifies the critical importance of recruiting and retaining high-quality staff. The appointment of staff is essentially an investment decision with long-term implications for the future of the University and its continued growth and success. The University values and recognises the benefits of a diverse and multicultural community and makes commitments to fulfil these values. The People & OD Plan identifies that UWS want to recruit and retain the best with creative reward and recognition. In addition, the People & OD intranet page provides guidance on Recruitment and Selection.	4.	Review Recruitment & Selection Policy and Procedures to align with best practice, specifically recognising equality, diversity and the candidate experience.	P&OD	July 2016
			5.	Review current recruitment and selection practices and align future practices to meet the ambition of recruiting the best talent.	P&OD	July 2016
			6.	Develop manager's guidance to support the revised recruitment and selection policy, procedures and practices and make available through web recruitment pages and	P&OD	July 2016

	role.	Web recruitment was launched in July 2015 making vacancies more accessible. To assist with the preparation prior to recruitment the University currently has standard blank templates for job descriptions and person specifications and Recruitment and Selection training is available via P&OD.		intranet.		
			7.	Develop and deliver management training on recruitment and selection which will be essential for all members of a recruitment panel. Unconscious bias training will also be a first and essential facet of this action.	P&OD	December 2016 – ongoing
			8.	Review and standardise job description and person specification template for research specific roles.	P&OD Lead with support from Research Services & Schools	December 2016
			9.	Develop a competency framework which will then be aligned to research and academic staff roles.	P&OD Lead with support from Schools & Research Services	March 2017
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	The University where possible advertises posts as permanent positions. Research posts are advertised as fixed term when there is specific funding associated with the role or if it is to cover maternity leave etc. An employee appointed to a fixed term contract has access to the same employee related benefits, systems and processes as permanent employees.	10.	Monitor implementation and effectiveness of the Bridging Fund and investigate the opportunities to extend it to create opportunities and support transition from fixed term to permanent employment.	P&OD Lead with support from Research Services	July 2016
		Through the Athena Swan Bronze submission, a Bridging Fund has been established for female early career researchers in the School of Science & Sport and School of Engineering & Computing to support their transition from a fixed term to open ended academic posts.	11.	Develop and publish specific guidance on employing people on fixed term contracts.	P&OD	January 2017
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	It has been formal practice that all members of a recruitment and selection panel must have completed the appropriate training. It is recognised that due to re-organisation of the University that this has not always been the case and is now an action. Unconscious Bias training has been provided to the members of the leadership forum and identified as an action that must be rolled out to School leadership teams through the Athena SWAN application for the Bronze Award. The Corporate Strategy 2014/20 confirms the importance our leadership places on equality and diversity at a strategic level. One of our truths is 'We are an inclusive organisation that welcomes and values diversity'	6.	Develop manager's guidance to support the revised recruitment and selection policy, procedures and practices and make available through web recruitment pages and intranet and incorporated into the recruitment and selection training provision.	P&OD	July 2016

	should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested this may be of assistance to the researcher in considering their further career development	To assure fairness, consistency and the best assessment of candidate's potential, UWS has in place Equality, Diversity and Human Rights policy established in 2013. It is our policy to celebrate and value the diversity of our student and staff populations and we are committed to providing Higher Education and employment opportunities to enable people of all backgrounds to fulfil their full potential in an environment that is free from any forms of discrimination, harassment or prejudicial behaviour. The policy is published on our intranet Policies & Procedures.				
			7.	Develop and deliver management training on recruitment and selection for all members of a recruitment panel. Training will include unconscious bias.	P&OD	December 2016– ongoing
		An action plan for equality and diversity training and development has been approved by the UWS Equality, Diversity & Inclusivity Committee. In 2015, the University achieved the Two Ticks disability scheme, re enforcing the commitment of the employment, retention, training and career development of disabled employees. Academic Promotion Procedure was reviewed in October 2015 to include guidance on the composition of the panel with particular reference to gender balance.	4.	Review Recruitment & Selection Policy and Procedures to align with best practice, specifically recognising equality, diversity and the candidate experience, including oral feedback.	P&OD	July 2016
			12.	Conduct a detailed review of the Academic Promotion Process to include greater diversity in the composition of the panel and any specific needs of early career researchers. This links to the development of the competency framework and career paths.	P&OD	December 2017
			13.	Deliver the agreed actions as identified in the Equality, Diversity & Inclusivity Committee action plan.	P&OD	Ongoing
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	UWS operates within the Hay Job Evaluation Scheme and all jobs are graded according to the duties and responsibilities of the role. It is normal practice for a new recruit to be placed at the bottom of the evaluated grade unless they can provide evidence that they should be placed at a higher point. We have salary reward and recognition schemes in place to accelerate through the evaluated grade based on performance.	14.	Undertake a benchmarking exercise for research and academic staff to assess where UWS are with pay in comparison to the sector.	P&OD	December 2016

		A No		Named unit with lead responsibility and showing other units who will support actions	When
research organisation.	Research staff expressed specific concerns a bout the fact that they are employed on administrative, technical and services staff contracts which do not fully reflect their role and suggested that they should be on academic type contracts. It was suggested that holidays, pensions, status of employee would be better if they worked elsewhere in the sector. A review of induction programme has been undertaken. A new Researcher Induction programme has been developed and established with input from Enterprise Services, Graduate School, Careers & Employability Service and P&OD. It will be provided twice yearly as a minimum.	15.	Review the contractual status of early career researchers taking account of sector norm.	P&OD	October 2016
		16.	Evaluate effectiveness of the Researcher Induction Programme via uptake statistics and feedback monitoring.	Research Services	December 2016

Recognition & Value
Principle 2: *'Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources strategy and key component of their overall strategy to develop and deliver work-class research'*

Principle point	Evidence of current practice	A No	Action & Success Measures	Named unit with lead responsibility and showing other units who will support actions	When
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.	Researchers currently have access to Performance & Development Review (PDR) and a Continuous Professional Learning (CPL) plan regardless of length of contract. Evidence from the CROS 2015 survey and focus groups confirms that PDR and CPL is not applied consistently across the organisation. This is currently a paper based system. Evidence from the CROS 2015 survey states that 58% of research staff agreed that they were treated equally with other members of staff in relation to access to training and development opportunities. The Corporate Strategy includes a KPI for percentage of staff for a CPL – 100% by AY19/20 and the 2015/16 documentation has been revised to reflect this KPI. UWS operates a Staff Appreciation & Recognition Scheme (STARS) which recognises employees who, as individuals or teams, have made a real difference to the students, staff or University in general, as chosen by the staff and students themselves. There is a specific category	17.	Review existing PDR process which aims to be 'A clear, concise, inclusive and meaningful approach to performance management and development' and individual/team objectives will link to the University's strategic priorities. The revised process will move from a paper based system to an online platform, improving accessibility and enabling completion rates to be monitored. ***Success Measure: Establish the baseline and monitor the completion rates for the P&DR process and aim for 60% compliance in year 1 and 70% in year 2 for research staff.***	P&OD	August 2016

			No.			
		recognising 'Outstanding Research & Knowledge Exchange.' Salary Reward & Recognition Scheme in currently available to all employees and is published on the People & OD intranet page. Academic Promotion Process which was reviewed in 2015. The process recognises research as one of three main criteria.	18.	Develop and provide a range of support to embed the revised Performance Management and Development process for both managers and employees. A tailored support framework for line managers will include workshops, how to guides, skills training on setting and agreeing objectives, providing feedback and identifying development opportunities/career progression. All new managers should undergo Performance Management and Development Training.	P&OD	September 2016
			19.	Raise awareness of the P&DR process, training opportunities and support for career development of researchers through the Researcher Induction Programme. ***Success measure: Achievement of a higher score than 58% in CROS 2017 of research staff agreeing they are treated equally to other in terms of training and development opportunities.***	P&OD	March 2016 & on-going September 2016
			20.	Review Salary Reward & Recognition Scheme to take account of best practice, legislation and equity in relation to researchers.	Research Services/P&OD	August 2017

			12.	Conduct a detailed review of the Academic Promotion process to include greater diversity in the composition of the panel and any specific needs of early career researchers. This links to the development of the competency framework and career paths.	P&OD	December 2017
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 Regs and Joint Negotiating Committee for Higher Education Staff guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations	The University currently complies with the fixed term regulations; however, no formal guidance is documented.

A Bridging Fund has been agreed for female early career researchers in the School of Science & Sport and School of Engineering & Computing to support their transition from a fixed term to open ended Academic posts as an Athena Swan action to address gender imbalance in these schools. | 11. | Develop and publish specific guidance on employing people on fixed term contracts. | P&OD | January 2017 |
| | | | 10. | Monitor implementation and effectiveness of the Bridging Fund and investigate the opportunities to extend it to create opportunities and support transition from fixed term to permanent employment. | Athena Swan Self Assessment Team | January 2017 |
| | | | 21. | Continue to analyse feedback from CROS and PIRLS and other employee engagement surveys to inform future developments in reward and recognition. | Concordat Implementation Steering Group | Every 2 years |
| 2.3 | Research Managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their | Although UWS has an existing PDR process, it was confirmed through the CROS 2015 survey results and focus groups that this is not applied consistently across the University. Actions have been identified to improve the current process. Part of the process is career development and it is a strategic objective identified in the Corporate Plan 2014/20 that all employees should have a Continuous Professional Learning (CPL) plan.

UWS has introduced mandatory supervisor training for all new supervisors and refresher workshops will be mandatory for supervisors of research students every three years. | 17. | Review existing PDR process which aims to be 'A clear, concise, inclusive and meaningful approach to performance management and development' and individual/team objectives will link to the University's strategic priorities. The revised process will move from a paper based system to an online platform, improving accessibility and enable completion rates to be monitored. | P&OD | August 2016 |

	responsibilities for the management of researchers and should provide training opportunities, including equality and diversity, 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.	It is a mandatory requirement for all Research Managers as with all staff to attend Equality & Diversity training. To support career development and progression, UWS has an established Academic Promotion Process which was reviewed in 2015. The process recognises research as one of three main criteria. Research Managers are required to support individual applications including assessing readiness for promotion and providing feedback and support in relation to any gaps. A structured Leadership Development Programme is in place for all leaders within the University. A Leadership Forum has been established where leaders from across the University meet to discuss emerging challenges. All the Heads of Service, Deans of Schools and the Senior Management Team are included.	18.	Develop and provide a range of support to embed the revised Performance Management and Development process for both managers and employees. A tailored support framework for line managers will include workshops, how to guides, skills training on setting and agreeing objectives, providing feedback and identifying development opportunities/career progression. All new managers should undergo Performance Management and Development Training.	P&OD	September 2016 and ongoing
			12.	Conduct a detailed review of the Academic Promotion Process to include greater diversity in the composition of the panel and any specific needs of early career researchers. This links to the development of the competency framework and career paths.	P&OD	December 2017
2.4	Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider who their policies, guidance and funding can be enhanced to help employers to achieve this	The University is committed to providing ongoing employment opportunities for all employees as far as possible. We do recognise that both internal and external factors may influence the need to change organisational structures, systems and processes. Therefore, to minimise impact, we have in place and Organisational Change policy, which is an agreed policy between the University and the trade unions that is deployed during times of change. The policy is published on the People & OD intranet page. At present, ad-hoc arrangements exist amongst Schools to support employees where there are gaps in funding from one research project to another. In November 2015, a Bridging Fund was established for female early career researchers in School of Science & Sport and School of Engineering & Computing to support their transition from a fixed term to open ended Academic posts. This was in support of the University's submission for the Athena SWAN Bronze Award.	10.	Monitor implementation and effectiveness of the Bridging Fund and investigate the opportunities to extend it to create opportunities and support transition from fixed term to permanent employment.	Concordat Implementation Steering Group	January 2017
			22.	UWS to develop a career pathways framework to encourage researchers to plan their career development and use the PDR process to agree activities to acquire new skills.	P&OD with Research Services & Schools	December 2017
			23.	Offer and run a minimum of two 'Introduction to Action Learning Sets' workshops for those who wish to participate or run action learning sets in order to assist with readiness	P&OD	January 2017

	objective.				for promotion opportunities.		
			24.	Introduce careers advice framework and offer career guidance support at around 6 months prior to end of contract.	Careers Service	August 2016 & ongoing
			25.	Develop a strategic approach to workforce planning.	P&OD	January 2018
2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers locally and nationally. In HEIs, pay progression will be in accordance with the Framework Agreement, through recognising the flexibility that institutions have in implementing the Framework.	UWS implemented the Framework and comply with the 51 point pay scale which was determined using a formal Hay Job Evaluation scheme. Employees have the opportunity to progress through the defined pay points of the evaluated role through length of service. Opportunities exist to accelerate through the grade via established policies which are available on the intranet Salary Reward & Recognition.

UWS has an established Academic Promotion Process which was reviewed in 2015. The process recognises research as one of three main criteria. | 14. | Undertake a benchmarking exercise for research and academic staff to assess where UWS are with pay in comparison to the sector. | P&OD | December 2016 |
| | | | 12. | Conduct a detailed review of the academic promotion process to be undertaken and specific consideration given to early career researchers. This links to the development of career paths. | P&OD | December 2017 |
| 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 communication | The current P&DR process is used as a vehicle to identify opportunities for career development and all other process that link to promotion or enhancements to pay require a full and complete P&DR to have been undertaken.

All vacancies are advertised in line with the agreed process and available via web recruitment and a vacancy bulletin is issued daily. All jobs are advertised using the standard job description and person specifications outlining the key requirements of the role.

UWS has an established Academic Promotion Process which was | 26. | Develop a communication plan to ensure that existing policies are known and understood by researchers. | P&OD with the Concordat Implementation Steering Group | December 2016 |
| | | | 12. | Conduct a detailed review of the Academic Promotion Process to be undertaken and specific consideration given to early career researchers. This links to the development of career paths. | P&OD | December 2017 |

			A No			
frameworks for early stage researchers are outlined in organisational HR strategies.	reviewed in 2015 and is published on the intranet. The process recognises research as one of three main criteria. Opportunities exist to accelerate through the grade through our Salary Reward & Recognition Scheme which is available via the intranet.		27.	Creation of a Researchers' Forum.	Research Services	December 2016
	Where employees can demonstrate that they are consistently performing in a role that is of a higher grade, UWS operates a re-grading procedure which is available via the Pay, Reward & Benefits section of the People & OD intranet page.		28.	Review current Research Development Programme in line with the new competency framework.	Research Services with P&OD	December 2016
	Research Services engaged an external consultant to deliver an 'Early Career Researcher Development Programme' which was aimed at the career development of researchers. This has been developed using the VITAE Framework. Feedback from delegates was excellent and this type of training will be incorporated in future researcher development programmes. A Development toolkit is accessible from the P&OD intranet site provide a range of resources.		29.	Develop a new Research Manager Leadership Development Programme. Programme to include areas on induction, career planning & progression and performance management and development, managing and developing a team.	Research Services with support from P&OD	March 2017

Support & 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'*

Principle point		Evidence of current practice	A No	Action & Success Measures	Named unit with lead responsibility and showing other units who will support actions	When
3.1	It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are as attractive in themselves. This required that they provide career	The People & Organisational Development team offer 1-2-1 coaching and this is available request of the employee. In recognition of the gap that researchers did not have a structured mentoring framework, a Research Mentor Scheme was developed and this launched in November 2015. Enterprise Services engaged an external consultant to deliver a 'Knowledge Exchange Programme' for researchers which will be reviewed an updated for 2016/17 delivery. The Learning Innovation team have developed and launched the Academic Professional Development intranet site which aims to be a single point of contact for academic professional learning needs.	28.	Review current Research Development Programme in line with the new competency framework.	P&OD with Research Services	June 2017
			29.	Develop a new Research Manager Leadership Development Programme. Programme to include	Research Services with P&OD	March 2017

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	development which is comparable to, and competitive with, other employment sectors.	An Academic Professional Development Framework is currently in development (APDF).		areas on induction, career planning & progression and Performance management and development, managing and developing a team.		
			9.	Develop a competency framework which will then be aligned to research and academic staff roles.	P&OD with support from Learning Innovation and Research Services	March 2017
			30.	Conclude the development of and launch the APDF.	Learning Innovation	January 2018
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 about great benefit to the UK economy and organisations will, therefore, with to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.	The P&DR process is a vehicle that is used to discuss career development and career aspirations as well as required development needs. Workshops and funder visits programme annually by Research Services. A mentoring programme specifically for researchers has been established, launched in 2015. The launch included briefing sessions for mentors and mentees. The Graduate School offers mentoring opportunities for research students as part of its training and development programme. P&OD operational plan states that we will 'create career paths with funding and support'. Employees have access to undertake the formal qualification Pg Cert Teaching and Learning in HEI, PG Cert in Research Supervision and HEA Fellowship Schemes.	22.	UWS to develop a career pathways framework to encourage researchers to plan their career development and use the PDR process to agree activities to acquire new skills.	P&OD with Research Services	December 2017
			31.	Review effectiveness of the student and staff mentoring programmes to fully understand the impact, one year following implementation. ***Measures of success: 20% increase in research activity (research applications, publications) from staff enrolled as mentees.***	Research Services (Staff) with Graduate School (Research students)	March 2017
			32.	Graduate School to develop a formal mentoring scheme for students.	Graduate School	January 2017

			33.	Provide access to careers advisers at all campuses to support researcher's career development.	Careers Service	July 2016
3.3	Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly skilled professionals in whatever field they choose to enter.	The P&DR process is a vehicle that is used to discuss career development and career aspirations as well as required development needs. The Graduate School proves a researcher training programme that is aligned to the Vitae RDF annually via workshops and seminars. Employees have access to undertake the formal qualification Pg Cert Teaching and Learning in HEI, Pg Cert Research Supervision, HEA Fellowship Scheme. All employees have access to the 'Development Toolkit', which is an online self-development tool that provides transferable knowledge and skills.	28.	Review current Research Development Programme in line with the new competency framework.	Research Services with P&OD	June 2017
			29.	Review our current Research Development Programme and develop a new Research Manager Leadership Development Programme. Programme to include areas on induction, career planning and progression and performance management and development, managing and developing a team.	Research Services with P&OD	March 2017
			30.	Conclude the development of and launch the Academic Professional Development Framework (APDF).	Learning Innovation	January 2018
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 disciple base, or offering training and placements to broaden awareness of other field and sectors.	See section 3.2 and 3.3 above. The People & OD Team provide 1-2-1 coaching which is available on request. Information on coaching is published on the intranet. The Development Toolkit also provides information on coaching. UWS hold an Annual Researcher Conference. In the 2016 conference there was 'Developing Talent for a Modern University' and all researchers were encouraged to attend via their line manager and from an e-mail from the Principal. This demonstrates UWS strategic commitment to the support and development of our researchers.	34.	Create a section on the intranet on researcher careers and provide a access to advisors at all campuses.	Careers Service	March 2017
			35.	Develop clear communication strategies for raising awareness of development opportunities.	Research Services	August 2016

3.5	Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.	PDR process is available but evidence from CROS survey and focus groups confirms that it is not applied consistently. All roles are currently advertised internally and externally via our web-recruitment which provides greater accessibility to roles. Additionally, daily vacancy bulletins are issued. Academic Promotion Process which was reviewed in 2015. The process recognises research as one of three main criteria. The University has an established Grading Review Process which is published on the staff intranet and available to all. Development of the Academic Professional Development intranet site – single point of contact for academic professional learning needs. Academic Professional Development All research students are required to maintain a Personal Development Plan (PDP) that is evaluated as part of the annual progress review.	17.	Review existing PDR process which aims to be 'A clear, concise, inclusive and meaningful approach to performance management and development' and individual/team objectives will link to the University's strategic priorities. The revised process will move from a paper based system to an online platform, improving accessibility and enable completion rates to be monitored.	P&OD	August 2016
			18.	Develop and provide a range of support to embed the revised Performance Management and Development Process for both managers and employees. A tailored support framework for line managers will include workshops, how to guides, skills training on setting and agreeing objectives, providing feedback and identifying development opportunities/career progression. All new managers should undergo Performance Management and Development Training.	P&OD	September 2016
			12.	Conduct a detailed review of the Academic Promotion process to be undertaken and specific consideration given to early career researchers. This links to the development of career paths.	P&OD	December 2017

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 learning.	Currently UWS hosts a 'Corporate Welcome Induction Lunch' which operates twice per year. This gives all new employees the opportunity to hear from the Principal, Director of People & OD and other senior managers. Induction checklists are issued to recruiting managers on appointment of a new team member. In order to ensure induction to the University is accessible, the People & OD team are working in partnership with colleagues to develop a mobile Induction App. In recognition that specific induction is required for researchers, a researcher specific induction programme has been designed. The first session was delivered in March 2015. This will be provided twice yearly. The Learning Innovation team have developed and launched the Academic Professional Development intranet site which aims to be a single point of contact for academic professional learning needs. Through the work we are doing with employee engagement, 'Management Expectations' have been developed and this includes a commitment to professional development.	16.	Evaluate effectiveness of staff and student researcher induction after one year of implementation.	Research Services (Staff) with Graduate School (Research students)	March 2017
			36.	Complete the development of and launch the general UWS induction App.	ITDS with P&OD	December 2016
			37.	Continue the development and delivery of the Research Induction sessions.	Research Services	On-going
			38.	Review guidelines for local induction.	P&OD	December 2016
			39.	Launch the Management Principles and develop guidance for managers on their responsibilities for their team and professional development. Publish the guidance on the intranet.	P&OD	March 2017
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	P&DR process can be used as a vehicle for identifying opportunities. Evidence from CROS and focus groups confirms that this is not applied consistently across the institution. The Learning Innovation team have developed and launched the Academic Professional Development intranet site which aims to be a single point of contact for academic professional learning needs. An Academic Professional Development Framework is currently in development (APDF). Research Services engaged an external consultant to deliver an 'Early	17.	Review existing PDR process which aims to be 'A clear, concise, inclusive and meaningful approach to performance management and development' and individual/team objectives will link to the University's strategic priorities. The revised process will move from a paper based system to an online platform, improving accessibility and enable completion rates to be monitored.	P&OD	August 2016

	of a project, or to act as a mentor or advisor to other researchers and students.	Career Researcher Development Programme' which was aimed at the career development of researchers. Feedback from delegates was excellent and this type of training will be incorporated in future researcher development. The Graduate School offers mentoring opportunities for research students as part of its training and development programme. It was identified through the Athena Swan Action Plan that female members of the Professoriate would mentor Early Career Researchers.	18.	Develop and provide a range of support to embed the revised Performance Management and Development process for both managers and employees. A tailored support framework for line managers will include workshops, how to guides, skills training on setting and agreeing objectives, providing feedback and identifying development opportunities/career progression. All new managers should undergo performance management and development appropriate guidance for managers.	P&OD	September 2016
			29.	Review our current Research Development Programme and develop a new Research Manager Leadership Development Programme. Programme to include areas on induction, career planning and progression and performance management and development, managing and developing a team.	Research Services with P&OD	March 2017
			32.	Graduate School to develop a formal mentoring scheme for research students.	Graduate School	
3.8	Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of contractual situation, which	All researchers, regardless of their contractual status have access to development opportunities and the main process for identifying these is through the P&DR process. The Learning Innovation team have developed and launched the Academic Professional Development intranet site which aims to be a	30.	Conclude the development of and launch the Academic Professional Development Framework (APDF)	Learning Innovation	January 201

			No.			
	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.	single point of contact for academic professional learning needs. An Academic Professional Development Framework is currently in development (APDF). Research Services has engaged an external provider to deliver two cohorts of a tailored 'Early Career Researcher Development Programme' which was aimed at the career development of researchers. A mentoring programme specifically for researchers has been established, launched in 2015. The launch included briefing sessions for mentors and mentees. At the Researcher Conference held in January 2016, a key theme throughout was the importance of mentoring for researchers. Each of the keynote speakers addressed mentoring and there was a specific session on mentoring.	28.	Review current Research Development Programme in line with the new competency framework.	Research Services with support from P&OD	June 2017
			29.	Review our current the Research Development Programme and develop a new Research Manager Leadership Development Programme. Programme to include areas on induction, career planning and progression and performance management and development, managing and developing a team.	Research Services with P&OD	March 2017
			31.	Review effectiveness of the staff and student researcher mentoring programme to fully understand the impact, one year following implementation. ***Success measure: 20% increase in research activity (research applications, publications) from staff enrolled as mentees.***	Research Services (Staff) with Graduate School (Research students)	March 2017
3.9	Research managers should actively encourage researchers to undertake CPL activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the	P&DR process can be used as a vehicle for identifying development opportunities. This process requires the employee and the line manager to discuss and agree the employees CPL which links to their role and career aspirations. Evidence from CROS and focus groups confirms that this is not applied consistently across the institution. Research Development Partners advise academics to include a training budget in grant applications where this is an eligible cost. The People & OD plan identifies the importance of development in line with delivering the vision and recognises that we will achieve our strategic ambition through our people. P&OD has established a target of ten development days for all staff.	29.	In addition to the development of the support for managers for PDR, the new Research Manager Leadership Programme will cover: Induction, Career Planning & Progression, and CPL, managing and developing a team.	Research Services with P&OD	March 2017

	skills and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to the research output and they encourage employers and mentors to adopt these practices.		40.	Monitor progress towards target of ten development days for staff. For research specific staff, the Concordat Implementation Steering Group will identify and agree generic development opportunities. ***Success measure: At least 50% of research staff will experience five development days by December 2017***	P&OD with support of Concordat Implementation Steering Group	December 2017
4.10	Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.	The University has a P&DR process available to all employees regardless of length of contract. Evidence from CROS survey and focus groups confirms that this is not applied con sistently across the University. It was identified as a strategic priority through our bHeard steering group that the existing process was not fit-for-purpose and a small working group has been commissioned to review existing process with a view to developing a clear, concise, inclusive and meaningful approach to performance management and development. The review team have also committed to developing and delivering a tailored suite of support tools for the reviewer and reviewee. As part of the P&DR process, all employees have access to complete a Continuous Professional Learning (CPL) plan. A strategic objective identified in the corporate strategy is that all employees will have a CPL plan by 19/20. A mentoring programme specifically for researchers has been established, launched in 2015. UWS is a member of Vitae and communication to staff highlighting Vitae resources is part of the ongoing Concordat communications plan. An Annual Researcher Conference has been established and the theme for January 2016 was 'Developing Talent for a Modern University.'	17.	Review existing PDR process which aims to be 'A clear, concise, inclusive and meaningful approach to performance management and development' and individual/team objectives will link to the University's strategic priorities. The revised process will move from a paper based system to an online platform, improving accessibility and enable completion rates to be monitored.	P&OD	August 2016
			18.	Develop and provide a range of support to embed the revised Performance Management and Development process for both managers and employees. A tailored support framework for line managers will include workshops, how to guides, skills training on setting and agreeing objectives, providing feedback and identifying development opportunities/career progression. All new managers should undergo Performance Management and Development Training.	P&OD	September 2016
			24.	Provide access to careers advisers at all campuses to support researchers' career development.	Careers Service	July 2016

4.11	Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes form other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.	The Graduate School Training and Development Programme prepares researchers for academic practice and is aligned to Vitae RDF since Oct 2015. More than 400 students have engaged in training activities (Nov-Feb) and the programme workshops are also available to research staff. Activities cover all Vitae domains and include enterprise, entrepreneurship, presentation skills, networking, research ethics, integrity etc. There is also the research conference and 3MT. For academic year 2016/17, we have introduced mentoring and mindfulness to support students. A three day learning and teaching workshop is mandatory for all students who wish to engage in teaching and learning activities. The intention is to credit award/badge the training programme for implementation during 16/17. Employees have access to undertake the formal qualification Pg Cert Teaching and Learning in HEI. Other accredited programmes can attended as part of CPD, provided that these are discussed and agreed at the P&DR and meet the strategic priorities of the University.	17.	Review existing PDR process which aims to be 'A clear, concise, inclusive and meaningful approach to performance management and development' and individual/team objectives will link to the University's strategic priorities. The revised process will move from a paper based system to an online platform, improving accessibility and enable completion rates to be monitored.	P&OD	August 2016
			18.	Develop and provide a range of support to embed the revised Performance Management and Development process for both managers and employees. A tailored support framework for line managers will include workshops, how to guides, skills training on setting and agreeing objectives, providing feedback and identifying development opportunities/career progression. All new managers should undergo performance management and development training.	P&OD	September 2016
			30.	Conclude the development of and launch the Academic Professional Development Framework (APDF).	Learning Innovation	January 2018
			41.	Develop specific guidance relating to career development and support.	Careers Service	July 2016
4.12	Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of	Opportunities can be identified through P&DR process. Evidence from CROS and focus groups confirms that this is not applied consistently across the University. Every employee has the opportunity to complete a continuous professional learning plan.	17.	Embed P&DR process and develop specific guidance relating to career development and support.	P&OD	September 2016

	Principle point	Evidence of current practice	A No	Action & Success Measure	Named unit with lead responsibility and showing other units who will support actions	When
	their career development suitable training and support is provided.	All students who want to engage in teaching and learning activity must undertake a 3 day introduction to learning and teaching programme. This runs twice per year.	42.	Integrate teaching and learning activities into Associate Fellow HEA structure.	Graduate School with Learning Innovation	
4.13	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.	Researchers are represented by trade unions who are consulted on all employee relations issues and the development of people related policies. UWS is in the process of setting up a partnership with the trade unions as they are a significant employee voice. Researcher members of the Concordat Implementation Steering Group have full opportunity to contribute to the agenda and action plan. Researchers also have the opportunity to be heard through our Employee Engagement Surveys.	27.	Creation of a Researchers' Forum led and owned by the researchers themselves.	Research Services (Staff) with Graduate School (Research students)	December 2017
4.14	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	Research Mentoring Programme launched in 2015. All mentors and mentees have access to online resources and will be invited to attend briefing sessions for mentors and mentees to encourage both groups to sign up. The University is committed supporting the career development and progression for female employees and has submitted an application to the Athena SWAN for bronze award in December 2015. We also committed to the female leadership programme Aurora, of which mentoring is a key component. The People & OD Team provide 1-2-1 coaching which is available on request. Information on coaching is published on the intranet. The Development Toolkit also provides information on coaching.	43.	Promote mentoring through researcher induction and P&DR Process. ***Success measure: 20% increase in the number of staff enrolled on the scheme.***	Research Services	Ongoing
			16.	Review the effectiveness of the staff and student researcher mentoring programme to understand if it is meeting the needs of the researcher community. ***Success measure: 20% increase in research activity (research applications, publications) from staff enrolled as mentees.***	Research Services	December 2017

Researchers Responsibilities

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

	Principle point	Evidence of current practice	A No	Action & Success Measure	Named unit with lead responsibility and showing other units who will support actions	When
5.1	Researchers are employed to advance knowledge and should	The UWS Corporate Strategy sets out the KPIs for Research, Enterprise and Engagement. The main objectives and actions to achieve the KPIs are set out in the Research Enabling Plan.	44.	Use the CROS and PIRLS data (2015 and 2017) and Research and Enterprise Advisory Committee to	Vice-Principal (R&E)	Ongoing

	exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	**UWS Corporate Strategy** **Research Enabling Plan 2015-2020** UWS also has an agreed **Corporate Social Responsibility statement** Research at UWS takes place in an environment of research integrity and the highest ethical and moral standards. Each School has an ethics committee with local chair and delivers specific training opportunities to raise awareness and upskill staff in the area of ethics.		shape provision.		
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.	To ensure researchers are supported to transfer and exploit knowledge, the University has invested in a new Enterprise Services Department to support researchers with enterprise and engagement activities. Enterprise Services manages technology transfer, patent applications, and consultancy arrangements and negotiates exploitation of UWS intellectual property and spin-out company agreements. Three new policies have been developed and approved. Policy for Exploitation of Intellectual Property: Principles and Processes Approved January 2016 Policy for Procedures for Consultancies and Service Work Approved January 2016 Policy on Conflict of Interest Approved January 2016	45.	Continue to develop strategic partnerships with business, industry and public sector to facilitate knowledge exchange and exploitation of UWS Expertise and IP. ***Success Measure: Engage with 10 new industry projects per annum***	Enterprise Services	September 2015 and ongoing
			46.	Develop a refreshed range of workshops and courses will be offered on Knowledge Exchange, commercialisation of research including intellectual property and company spin-out and start up. ***Success Measure: Deliver 6 workshops per Annum***	Enterprise Services	November 2016 and ongoing
5.3	Researchers should recognise the responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to wider body of knowledge.	Researchers are required to demonstrate their understanding of this principle in their research. Guidelines for Ethical Practice in Research and Scholarship are published and have been developed to present the ethical framework and procedures for the conduct of all academic activity and to identify ethical considerations that should be addressed through the formal approval process. These guidelines sit alongside the following University frameworks, policies and statements: Regulatory Framework, Ethics Policy, Corporate Social Responsibility Statement, Data Protection Policy, Health and Safety Policy, Equality, Diversity and Human Rights Policy.	47.	Review Research Integrity Training for staff ***Success Measure: All research staff are offered research integrity training and at least 50% take up the offer of training by December 2017.***	Graduate School, Chair of Ethics Committee	November 2016

		UWS Schools must ensure that all programme teams are committed to raising awareness of the ethical implications of research and scholarship and demonstrate this within their programme Each School at UWS has a School Ethics committee. All staff and student applications must be considered by the relevant School committee/contact. An application will be referred to University Ethics Committee (UEC) by the School where studies involve vulnerable groups and/or invasive procedures. UWS has a set of research governance policies and practices detailing UWS expectations for the conduct of research and defined actions to be taken in the event of any individual is accused or suspected of research misconduct. **http://www.uws.ac.uk/research/ethics/** UWS has a set of research governance policies and practices detailing UWS expectations for the conduct of research and defined actions to be taken in the event of any individual is accused or suspected of research misconduct **http://www.uws.ac.uk/research/ethics/** The conduct of research and the dissemination of its results must be honest and fair and there is a UWS Complaints Handling Procedure which covers all staff and students for investigations concerning allegations of misconduct in academic research.				
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.	Research supervisors are reminded of their responsibility through supervisor update sessions. Enterprise Services provide support on knowledge exchange, entrepreneurship and enterprise and the development of business plans (See 5.2) Workshops on career opportunities other than academia will be made available via the Careers Service. Early career researchers (research assistant, research fellow and lecturers) are encouraged to sign up to the Research Mentoring Network where mentors are asked to help researchers to take control of their skills and career development.	Actions 8, 9, 12 and 29 also support this principle			
			48.	Offer and run a minimum of two workshops on Mentoring and Coaching Skills for new Mentors. ***Success Measure: Run workshops for prospective Mentors two times per year.***	P& OD/Research Services	August 2016

		Monitoring of implementation has commenced through the bHeard staff survey, CROS and PIRLS surveys. Through the research induction, training and PDR researchers will be encouraged to build their CV and manage their career development. Researchers and research students will have access to the University research management system (PURE) and academic profiles and CVs will be actively monitored by school and central support staff and staff will be offered feedback on presentation.	49.	Offer and run a minimum of two workshops on Mentoring and the Role of the Mentee for new Mentees. ***Success Measure: Run workshops with prospective Mentees two times per year.***	P&OD with Research Services	August 2016
			50.	Section on Early Career Researcher to be added to the Careers and Employability section of the website.	Careers & Employability Service	August 2016
			51.	Career management employability workshops to be developed for research staff.	Careers & Employability Service	December 2016
			52.	Research Staff and Early Career Researchers will be offered access to resources and 1-2-1 sessions with career advisors on CV building and managing their career development ***Success Measure: Establish a base line for 2016/2017 and seek 20% increased uptake in 2017.***	Careers Service	August 2016

5.5	Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.	During the annual development and review research staff should discuss the section about "Future Plans". In considering your future plans comment on the direction you would like your career to take. Nearly two thirds of the CROS 2015 respondents agreed that UWS treats them (as a member of research staff) equally with other types of staff in relation to: training and development opportunities. A range of professional support services and development opportunities are available to research staff and they are encouraged to attend development workshops, courses and seminars. The Careers and Employability Service is represented on the Concordat Implementation Steering group and is committed to attend research staff induction events and deliver a number actions under 5.4	53.	Reminders to be sent to researchers on how to access Vitae resources and RDF Framework, in advance of PDR.	Research Services with P&OD	August 2016
			22.	UWS to develop a career pathways framework to encourage researchers to plan their career development and use the PDR process to agree activities to acquire new skills.	P&OD with Research Services	December 2017
			54.	Facilitate a cross-School programme to develop an early career researcher network to support collaboration and discover skills to make their research more innovative. This will be based on the Scottish Crucible model **www.scottishcrucible.org.uk**	Research Services	January 2017
			55.	Develop a researcher portal on the UWS website and intranet to clearly signpost the full range of support offered by the University to Principal Investigators, Research Leaders and Research Staff.	Research Services	March 2017
5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year and in discussion with their research manager and mentor, and that they commit themselves fully to all	Research mentoring is now available for all research staff. The existing P&DR process is designed to be a two-way communication process between the employee and line manager where employees are encouraged to set their objectives, review and rate their performance and take ownership of their personal and career development by identifying and participating in agreed activities defined within their Continuous Professional Development Plan. A review of the existing process is underway and will embed the culture of developing a high performance culture through our people taking ownership of their development and performance.	56.	Support staff and line managers to encourage the use of active CPL through the guidance provided on the revised P&DR process.	P&OD	September 2017

	such activities. Researchers are encouraged to record the CPL activities, a log of which may be presented to current and future employers as appropriate.					

Diversity & Equality

Principle 6: *Diversity & equality must be promoted in all aspects of the recruitment and career management of researchers'*

Principle point		Evidence of current practice	A No.	Actions and Success Measures	Named unit with lead responsibility and showing other units who will support actions	When
6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities and to develop specific schemes and action plans related to gender, race and disability to address specific issues of under-representation or lack of progression.	The University is committed to equality of opportunity and has in place an Equality, Diversity and Human Rights Policy which is published on the intranet. Additionally, in 2015, the University established an Equality, Diversity & Inclusivity Committee whose remit it to ensure that the University satisfies its obligations under equality and diversity legislation as well as the development of appropriate action plans and schemes to address any issues. This builds on the previous Equality and Diversity Committee. At UWS, every policy is required to be Equality Impact Assessed and there is guidance and a standard template to ensure that this process is completed consistently across the University. In December 2015, UWS submitted an application for the Athena SWAN bronze award and we are awaiting feedback on the outcome of this application.	57.	Monitor progress of the implementation of the Equality, Diversity & Inclusivity Action Plans.	Equality, Diversity & Inclusivity Committee	Ongoing
			58.	Re-develop and implement all staff equality, diversity and inclusivity training and development programme and deliver to Schools, prioritising new starts and STEM areas that have low representation of women and all members of decision making panels.	P&OD	Ongoing
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	Current Recruitment and Selection practice recognises the importance of diversity. The University has obligations under the Public Sector Equality Duty Act.	4.	Review Recruitment & Selection Policy to target under-represented groups.	P&OD	July 2016

	the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.					
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 and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.	The establishment of the Equality, Diversity & Inclusivity committee in 2015 consider such issues across the University. At UWS, every policy is required to be Equality Impact Assessed and there is guidance and a standard template to ensure that this process is completed consistently across the University.	59.	As issues are identified, refer to the Equality, Diversity & Inclusivity committee to take appropriate actions.	P&OD	Ongoing
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,	The University recognises the importance work-life balance and has a range of Family Friendly Policies to support this, which were reviewed June 2015. For academic colleagues, we have an established Activity Planning framework which provides a standard process to calculate time to ensure that the academic workload is fair, transparent and manageable. The commitment to establish a fund for academics and researchers returning from extended family friendly leave to ensure career development and progression is not impacted by the leave.	60.	Develop the academic and researchers Return to Work Policy.	P&OD	July 2016

	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.	The commitment to establish a Carers Fund to support academic and researchers attend work/conferences/learning who may incur additional costs of attending such events. Flexible Working focus group has been held and training has been provided to managers, initially in STEMM schools. Managers Guidance on Flexible Working has been developed and is available via the People & OD intranet page.	61.	Develop the criteria for the Carer's Fund.	P&OD	July 2016
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.	UWS reviewed its Flexible Working Policy in June 2015 and during this review, we removed the statutory qualifying service period of 26 weeks resulting in a more supportive environment for new employees. This was in recognition that roles can be managed flexibly and UWS is committed to flexible working, both formally and informally. We have both formal and informal users of flexible working and evidence from focus groups confirms that on the whole, people are happy with the arrangements. Flexible Working focus group has been held and training has been provided to managers, initially in STEMM schools. Managers Guidance on Flexible Working has been developed and is available via the People & OD intranet page.	62.	Promote policy through lifestyle events held in March 2016.	P&OD	March 2016 and September yearly
			63.	Conclude the development and deliver the management development programme where flexibility and bullying and harassment are core modules.	P&OD	December 2016 and ongoing
6.6	Funders should continue to ensure that their funding mechanisms and policies are adopted 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.	All eligible employees are entitled to maternity/adoption/paternity/shared parental leave and UWS has policies in place to support this which are published on the intranet page P&OD Policies. Policies are updated to reflect legislative changes.	64.	Ensure external funding bids satisfy additional costs for equality and diversity legislations. If not, costs will be met by the University.	Research Service with P&OD	Ongoing

6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and management level. This should be achieved on the basis of 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, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	UWS established Equality, Diversity & Inclusivity committee in 2015 which is accountable for the Equality, Diversity & Inclusivity strategic agenda for the University and will instigate appropriate actions in relation to the representative balance in relation to equalities. UWS has to satisfy the Public Sector Equality Duty and publish the relevant statistics. Diversity is now being reflected in selection panels and committees and the Equality, Diversity and Inclusivity Committee and the Athena SWAN submission have identified specific actions to further address this. Academic Promotion process was reviewed to take account of equality and diversity issues.	65.	Monitor progress of the implementation of the Equality, Diversity & Inclusivity (ED&I) Action Plans.	ED&I committee	Ongoing
			4.	Review Recruitment & Selection policy to include gender balance on selection panels.	P&OD	June 2016
			12.	Conduct a detailed review of the Academic Promotion Process to be undertaken and specific consideration given to early career researchers. This links to the development of career paths.	P&OD	December 2017
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	Groups all satisfy the EIA, no evidence of disadvantage groups. UWS applies flexible working both formally and informally. Evidence from focus groups suggests that on the whole, people feel that flexibility is supported. A Bridging Fund has been established for female early career researchers to support their transition from fixed term to open ended academic post.	66.	Continue to support and raise awareness of flexible working through normal communication channels and support provided through the P&OD Business Partners.	P&OD	Ongoing

	their first language, older and younger researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.	In 2015, UWS was awarded the 'Two Ticks' disability symbol, evidencing our positive commitment to in recruitment, retention, training and career development of disabled employees.	10.	Investigate possibility to extend the Bridging Fund to create opportunities and support transition from fixed term to permanent employment.	P&OD with Research Services	January 2017
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.	UWS has appropriate policies in place including Dignity & Respect at Work, Whistleblowing and Grievance Policy & Procedure which are available on the P&OD intranet page P&OD Policies. Management Development programme under development and due to be launched in the first half of 2016.	67.	Review appropriate policies in accordance with the policy review schedule.	P&OD	Ongoing
			63.	Conclude the development of and deliver the management development programme which will include bullying and harassment.	P&OD	December 2016 & ongoing
6.10	Employers should also consider participation in schemes such as the Athena Swan Charter, the Juno Project and other initiatives promoting diversity in research careers.	Member of Athena Swan, application for bronze award submitted in December 2015. Member of the Juno Project. Since May 2104, P&OD have been arranging a series of Inspiring Women events designed to inspire and empower our workforce to learn and to ignite a passion to develop and evolve, in whatever direction that may take people. Corporate Strategy KPI is to receive national recognition for advancing women's careers in academia by achieving Athena SWAN silver accreditation by academic year 2019/20	68.	Carry out actions as identified in Athena Swan Action Plan.	Athena SWAN Group	Ongoing

Implementation & Review						
Principle 7: ''*The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK'*						
Principle point		**Evidence of current practice**	**A No.**	**Actions**	**Named unit with lead responsibility and showing other units who will support actions**	**When**
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.	CROS and PIRLS completed in 2015 and this was following Focus groups undertaken in 2015 in order to understand the CROS and PIRLS context and data. The Concordat Implementation Group was formed directly out of the CROS / PIRLS analysis.	69.	Integration of the activities will be managed through the Concordat Implementation Steering Group with the expectation that much of the activities will be led by appropriate teams in the University.		
7.2	The signatories agree: a) To constitute a steering group under an independent chair to oversee the implementation and review of the Concordat. b) Appropriate representation of funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress. c) To procure an independent	The Concordat Implementation Steering Group established in 2015 which has launched and is operating efficiently. Broad membership of all appropriate interest groups has been achieved. The CROS ran in Spring 2015 and results used to inform future policy and practise. Vitae Membership Services will be used to benchmark existing activities against sectoral benchmarks.	70.	Concordat Implementation Steering Group to meet 3 times per year to monitor progress. The costs of Concordat implementation will be met you the appropriate School, P&OD, Research Services and Enterprise Services budget.	Research Services	Ongoing

	benchmarking study to assess the state of the sector at the launch of this Concordat. d) To contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report. e) To draw up an implementation plan for 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.		71.	Embed the Concordat in the University and request that academic departments to develop local Concordat action plans.	Assistant Deans (R&E)	Ongoing
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.		72.	Concordat Implementation Steering Group will continue to engage in national initiatives.	Concordat Implementation Steering Group	Ongoing
7.4	The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review. 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		72.	Concordat Implementation Steering Group will continue to engage in national initiatives.	Concordat Implementation Steering Group	Ongoing

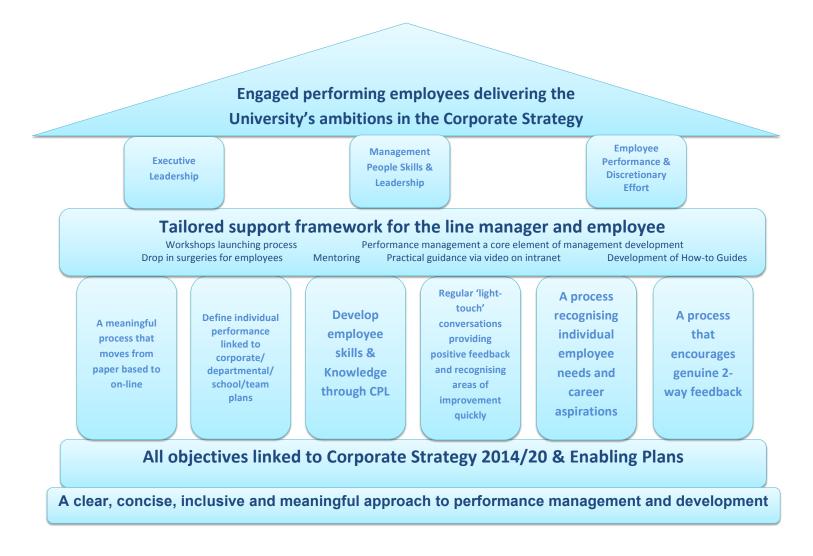|						
	potential of researchers, funded by the research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.					
7.5	Under public sector equality 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 this impact.	Vitae membership, ARMA membership and ScotHERD researcher development network as vehicles to engage in national initiatives. The University has recently applied for the Athena Swan Bronze Award and identified actions within that plan involving data and the public sector equality scheme.	73.	Concordat Implementation Group to continue to monitor developments in sector and actively engage for the benefit of UWS staff by attending/presenting at conferences and contributing to working groups.	Concordat Implementation Steering Group	Ongoing
			68.	Monitor progress against identified actions contained in Athena Swan Action Plan.	Athena Swan Group	Ongoing

GLOSSARY

Acronym	Description
APDF	Academic Professional Development Framework
ARMA	Association for Research Managers and Administrators
Athena Swan	National scheme which recognises a commitment to supporting and advancing women's careers in science, technology, engineering, maths and medicine
AURORA	Leadership Foundation for Higher Education: women only leadership programme
bHeard	UWS staff Engagement Survey
CPD	Continuous Professional Development
CPL	Continuous Professional Learning
CROS	Careers in Research Online Survey gathers the views of research staff in UK higher education institutions
ED&I	Equality, Diversity and Inclusivity
HEA	Higher Education Academy, national body championing teaching quality
HEI	Higher Education Institution
IP	Intellectual Property
ITDS	Information Technology & Digital Services, department at University of the West of Scotland
KPI	Key Performance Indicator
P&OD	People and Organisational Development, department at University of the West of Scotland
PDP	Personal Development Plan
PDR/ P&DR	Performance and Development Review
PIRLS	Principal Investigators and Research Leaders Survey gathers views of staff in UK higher education institutions
PURE	PURE is a web based information management and repository system
RDF	Research Development Framework for professional development produced by Vitae
R&E	Research and Enterprise
REAC	Research and Enterprise Advisory Committee at University of the West of Scotland
REGS	Regulations
ScotHERD	Scotland and Northern Ireland researcher development practitioner group
STARS	Staff Appreciation and Recognition Scheme at University of the West of Scotland
STEMM	Science, technology, engineering, maths and medicine
UEC	University Executive Group
VITAE	International programme led and managed by CRAC, a not-for-profit registered UK charity

APPENDIX 1

Developing our approach to: maximising performance through our people

Engaged performing employees delivering the University's ambitions in the Corporate Strategy

Executive Leadership

Management People Skills & Leadership

Employee Performance & Discretionary Effort

Tailored support framework for the line manager and employee

Workshops launching process   Performance management a core element of management development

Drop in surgeries for employees   Mentoring   Practical guidance via video on intranet   Development of How-to Guides

A meaningful process that moves from paper based to on-line

Define individual performance linked to corporate/ departmental/ school/team plans

Develop employee skills & Knowledge through CPL

Regular 'light-touch' conversations providing positive feedback and recognising areas of improvement quickly

A process recognising individual employee needs and career aspirations

A process that encourages genuine 2-way feedback

All objectives linked to Corporate Strategy 2014/20 & Enabling Plans

A clear, concise, inclusive and meaningful approach to performance management and development

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