

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**A: RECRUITMENT AND SELECTION**

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

**Clause 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

**Evidence for current compliance** (as of May 2015)

- Anglia Ruskin University's Corporate Plan 2015-17 contains objectives focusing on research (<http://www.anglia.ac.uk/~media/Files/corporate-plan-2015-17.pdf?la=en>). Our Research Strategy 2015-17 (not yet published) will contain milestones for the delivery of these objectives. Achieving our research objectives ensures that our university is seen as a good place for researchers to be employed.
- Support for research staff is mentioned in various reports made to Board of Governors, Senate and CMT. The Concordat is a standing item on the agenda for the Research Committee.

Information in relation to the Concordat continues to be disseminated to all relevant staff and managers through a variety of channels including our staff publication 'Bulletin' and at research conferences. Copies of the Concordat are available on our website.

<http://web.anglia.ac.uk/anet/RIDO/research/concordat.phtml>

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Research Committee regularly monitors progress with Corporate Plan objectives and Research Strategy milestones	Deputy Vice Chancellor (Research and Innovation)	Annually in July	Our Deputy Vice Chancellor (Research and Innovation) presented an annual report on review of progress against key Corporate Plan and Research Strategy milestones around research, innovation and knowledge exchange to our Board of Governors in November 2015. A new Research, Innovation and Knowledge Exchange (RIKE) Strategy 2016-17 was introduced in February 2016. A further annual report was presented to the Board of Governors in November 2016.
Investigate additional methods of communicating information about the Concordat to researchers e.g. article in Research Highlights magazine	Research & Innovation Development Services (RIDO) and HR Services (HRS)	Autumn 2015	A variety of different methods have been used for communications of different aspects of the Concordat. For example, development sessions have been promoted directly by HR Services, and have appeared in our Research and Innovation Roundup publications in 2015 and 2016. The Concordat and the HR Excellence in Research Award featured at the inaugural ECR conference in January 2016

**Measure of Success:** The achievement of the targets for research as outlined in the Corporate Plan and Research Strategy. For example, the percentage of eligible staff submitted to our annual mock REF exercises to rise from 29% in 2014 to 55% in 2017.

**Update 2017:** In the report to the Board of Governors completed in November 2015, of the twelve key targets against which progress was reported, we had met or exceeded our target in eight areas.

The report to the Board of Governors in November 2016 took a more narrative approach, reflecting the beginnings of a transition for the central institutional research support service, RDCS, into RIDO, and changes of key personnel including the Director of RIDO during this period. As a result, fewer KPIs were reported against and these were drawn exclusively from our Corporate Plan, rather than our new RIKE Strategy, but of the five which were reported against, we had met or exceeded our target in three areas.

### **Clause 1.2**

Employers should strive to attract experience and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Evidence for current compliance** (as of May 2015)

- We are double-tick Positive about Disabled People symbol users, members of Mindful Employer and were the first university to join Stonewall's Diversity Champions programme. Links to our equality policies are included on our Jobs webpage, and we undertake comprehensive equality monitoring at the application stage. ([https://www24.i-grasp.com/fe/tpl\\_AngliaRuskin01.asp](https://www24.i-grasp.com/fe/tpl_AngliaRuskin01.asp))
- All staff involved in recruitment are encouraged to complete recruitment and selection training. This is mandatory for chairs.
- For all posts, the qualifications, skills and experience required are identified as part of the person specification.
- HR Services review each job description and person specification. CMT staffing group consider each vacancy as they arise and approve to recruit. We have up-to-date job descriptions and person specifications, to ensure consistency across the institution.
- HRS monitor data on the diversity of applicants and appointees on an annual basis.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Continue to monitor completion of mandatory training	HRS	Monitored during probation on an individual basis	Completion of mandatory equality and diversity training during probation is monitored, embedded in standard HR practices.
All recruitment panel chairs to have completed recruitment and selection training	HRS	Monitored when panels are scheduled	Chairs' completion of recruitment and selection training is a routine check made by HR staff responsible for overseeing recruitment.

**Measure of Success:** Training for Chairs to continue at 100%. A baseline for other staff involved in recruitment needs to be established, but will grow in an appropriate manner to reflect the implementation of this Action Plan by 2017. The level will be determined when the baseline is known.

**Update 2017:** All recruitment panel chairs are required to undertake mandatory training. Statistics relating to training for other panel members are not available.

**Clause 1.3**

Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason

**Evidence for current compliance** (as of May 2015)

- Fixed term posts are only advertised as such when there is a justifiable reason, e.g. linked to funding in line with our Fixed Term Employment Policy and Procedure

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

- Successive fixed term contracts are always reviewed at the point of renewal.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Continue to review at recruitment stage and CMT oversee by approving jobs	HRS/CMT	When the role is considered by the CMT staffing group which meets on average every two weeks	The CMT staffing group which formerly reviewed all roles prior to advertisement has been abolished. Checks are now undertaken by the relevant Dean of Faculty or Director of Service, and review is embedded in HR recruitment practices. No issues have been identified in terms of unjustifiably creating new fixed term posts.
Continue to review on receipt of request to renew	HRS	Dealt with as prior to individual contract renewal	HR review the justification for fixed-term posts on receipt of requests to renew such contracts. No issues have been identified.
Monitor the proportion of fixed term researcher contracts as regards overall research contracts	HRS	Annually in December	Reports were generated in November 2015 and early 2017. See below for further comment.

**Measure of Success:** Number of fixed term researcher posts as a percentage of our research staff headcount diminishes on annual basis.

**Update 2017:** According to the reports generated in November 2015 and early 2017 the proportion of our research staff on fixed term contracts had risen from 65% to 85%.

On reflection, the 2015 measure of success was ill-considered. While we are committed to avoiding the use of fixed term contracts solely because funding is externally-sourced, the reality is that most fixed term employment of researchers is the direct result of having won grants enabling that employment. Any increase in grant funding was likely to result in a greater likelihood of employing researchers on justifiable fixed term contracts. Our total grant income awarded rose from £5.8 million in 2014 to £7.2 million in 2016.

The particular issue here is of course continuity of employment for our fixed-term research staff, which is more challenging for less research-intensive institutions such as ourselves. We have discussed using 'bridging' or alternative arrangements where possible and appropriate.

#### **Clause 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

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development

**Evidence for current compliance** (as of May 2015)

- Our Recruitment and Selection Policy was reviewed in summer 2012. We have robust guidelines in relation to the constitution of appointment panels to ensure consistency.
- Feedback is provided to unsuccessful applicants who are shortlisted on request.
- Mandatory training for chairs of selection panels is formally embedded.
- All new staff complete mandatory equality and diversity training.
- Our People Strategy 2016/17 has targets for the percentage of candidates and recruiting managers satisfied with the recruitment experience. The Recruitment Team has KPIs that are regularly monitored and reviewed in respect of service delivery and customer service.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review and revise Recruitment and Selection Policy	HRS	Annually in December	A revised Recruitment and Selection Policy was approved in September 2015

**Measure of Success:**

1. Recruitment & Selection Policy reviewed and revised in December 2015 to ensure its currency and compliance with best practice and legislation.
2. Our HR Services Recruitment Team meets the KPIs set for it in respect of service delivery and customer service.

**Update 2017:**

1. As noted, a revised Recruitment and Selection Policy was approved in September 2015.
2. The KPIs for our Recruitment Team, and the percentage of occasions on which these were met in 2016, are as follows:
  - 92.5% of managers were notified that candidate applications were ready to be reviewed 1 day after the closing date
  - 92.5% of interview invites were sent to candidates within 3 days of receiving shortlisting
  - 91.25% of interview packs were sent to the panel 4 days prior to the interview date
  - 97.5% of candidates were sent their conditional offer 3 days after notification of appointment
  - 91.25% of candidates were sent interview rejections emails 5 days after notification of appointment
  - 98.75% of candidates were sent their formal offer 3 days after pre-employment checks were complete and a start date confirmed

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Clause 1.5**

The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisations

**Evidence for current compliance** (as of May 2015)

Pay and grading structure in place as a result of the implementation of our Collective Agreement for Modernisation of Pay Structures (2006).  
Grading review procedure in place.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Assess and review the grading review processes	HRS	Autumn 2015	Our Grading Review Procedure was revised and an amended version published in February 2016 (see also 2.5).
Monitor staff satisfaction with equality of reward through staff surveys such as CROS and PIRLS	RIDO	Summer 2017	CROS and PIRLS 2015 sought specific feedback about equality of reward. It was decided not to participate in CROS and PIRLS 2017; alternate data on satisfaction with equality of reward will be sought through our institutional staff survey mechanism.

**Measure of Success:** Maintain satisfaction levels with equality of reward as demonstrated in CROS and PIRLS 2017 using a baseline to be determined by CROS and PIRLS 2015 (both closing 31 May 2015).

**Update 2017:** 78% of respondents to CROS 2015, and 75% of respondents to PIRLS 2015, were satisfied that staff were treated fairly, regardless of personal characteristics, in respect of reward.

Given the low numbers both of eligible participants and actual respondents to CROS and PIRLS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS or PIRLS 2017.

Staff satisfaction is proactively monitored through the biennial staff survey; our 2017 staff survey ran from 13 March to 7 April 2017 and the results will be analysed and available in the summer of 2017. This includes feedback on our pay and benefits package.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**B: RECOGNITION AND VALUE**

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

**Clause 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.

**Evidence for current compliance (as of May 2015)**

- Feedback from PIRLS and CROS indicated that researchers and PIs find appraisal valuable. In 2015 we moved to a fully online appraisal system and have further embedded research plans into the process for academic staff.
- We offer a wide range of training and development opportunities which are open to all research staff regardless of whether they are on a fixed term contract.
- Specific funding opportunities for the development of research staff are available.  
[http://web.anglia.ac.uk/anet/RIDO/uk\\_funding/early\\_career.phtml](http://web.anglia.ac.uk/anet/RIDO/uk_funding/early_career.phtml)
- Feedback from CROS 2013 showed that researchers are encouraged to engage in personal and career development

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Evaluate the revision to the appraisal process through the Appraisal Working Group	HRS	December 2015	Evaluation of the move to an online appraisal system in 2015 and the embedding of research plans into appraisal was undertaken by the Appraisal Working Group and agreed to have been successful.
Consider implementation of a central 'hub' for researchers to locate information about development opportunities	RIDO	December 2017	Initial work to scope and develop a 'hub' for researchers contributed to the decision to create a new Researcher Development Coordinator post in part to carry this work forward. The restructuring of RIDO during 2016 meant that recruitment to this post was delayed. We expect to advertise in May 2017. In the meantime existing mechanisms such as HR Online have been used to promote development opportunities.
Review and act upon feedback from CROS 2015. Reassess in CROS 2017	RIDO	Summer 2015 and spring 2017	CROS 2015 data provided below; as noted above, it has been decided not to proceed with CROS 2017.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Measure of Success:** Continued evidence of staff satisfaction with appraisal and with personal and career development as evidenced by CROS 2015.

**Update 2017:** participate until after having completed probation. Of those who had participated in appraisal, 85.7% of respondents found it useful or very useful overall. This was an increase over the 75% of respondents who had said the same in CROS 2013.

However, in CROS 2015 76.5% of respondents agreed or strongly agreed that they are encouraged to engage in personal and career development; a decline from 100% in CROS 2013.

**Clause 2.2**

Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.

**Evidence for current compliance (as of May 2015)**

- Staff on fixed term contracts are offered the same support as those on permanent contacts e.g. in relation to induction, probation and appraisal.
- Our Fixed Term Employment Procedure was revised in August 2014 to strengthen our commitment to avoiding the use of fixed term contracts simply because funding is external. A copy of the document is available on HR Online – [http://web\(anglia.ac.uk/hr/policies](http://web(anglia.ac.uk/hr/policies)

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review data on the percentage of research staff employed on fixed term contracts each year since the revision of the Fixed Term Employment Procedure.	HRS	December 2016	As noted above, snapshot data collected in November 2015 and early 2017 demonstrates the proportion of research staff employed on fixed term contracts has risen from 65% to 85%. We comment on this above; see 1.3.
Monitor leaver data annually to check for difference in the contract type of leavers and to assess exit survey responses to provide data on reasons for leaving to inform strategies in response to any such differences	HRS	December 2015 and December 2016	Leaver data is available and monitored. For example, in the 2016 calendar year there were 270 leavers, of whom 66 (24%) had been employed on a fixed-term contract. Our exit survey was discontinued shortly after our HR Excellence submission was made in May 2015; we are in the process of reintroducing it in an online version, which was trialled in March 2017.



**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Measure of Success:** Leaver data demonstrates that the type of contract is not a major factor in voluntary resignations.

**Update 2017:** This success measure was intended to demonstrate that researchers on fixed term contracts were not resigning because they held a fixed-term contract. During 2016, nineteen research-only staff left, eleven being made redundant at the end of their fixed-term contracts. Of the eight who resigned, four were on permanent contracts and four were on fixed-term contracts. Although this analysis relies on very small numbers, it would seem to imply that contract type was no more or less likely to lead to resignation. Once an exit survey has been introduced we will be able to gather additional qualitative commentary about the reasons for these resignations.

**Clause 2.3**

Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.

**Evidence for current compliance (as of May 2015)**

- All new staff complete our online induction, supported by a welcome event to meet the Vice Chancellor. As part of academic probation all staff are supported by a mentor throughout their probationary period.
- Staff development needs are identified and progress monitored through probation and appraisal. Our appraisal scheme was revised in 2015 to fully incorporate Research Plans to give a greater emphasis on research.
- We provide a range of Management Development and Performance Management training courses. We are also sponsoring staff attendance on the Aurora programme.
- We provide access to online courses on research leadership (Epigeum) and to a Researcher Bursary Scheme.
- The Researcher Development Working Group reviews and supports a range of developments for researchers.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Evaluate the implementation of online induction	HRS	Spring 2015	Online induction was evaluated in 2015 with very positive results: 95.5% of respondents rated it as good or very good. Satisfaction rates have continued to remain high; as at March 2017 an average of 94% was being reported.
Monitor the confidence of research managers in managing staff performance, motivation and advising on career opportunities etc through PIRLS 2015	RIDO	December 2015	In PIRLS 2015, an average of 82% of respondents said they were confident or fully confident in terms of conducting appraisal, managing staff performance, motivating staff, and advising them on career opportunities.
Participate in the Epigeum 'Impact' programme to develop tools to assess Epigeum usage	RIDO	Summer 2016	We participated in the development of the Epigeum Impact Programme. The tools were rolled out as soon as they became available in late 2016
Review methods of promoting Epigeum programmes to increase uptake	RIDO	Autumn 2015	Epigeum content is primarily aimed at doctoral students and as such managed in our Doctoral School, the creation of which was not anticipated in when our HR Excellence in Research review took place in May 2015. As part of the creation of the Doctoral School a new Researcher Development Programme Manager was appointed, part of whose remit is the usage of the Impact Programme tools now that these are available, and the wider review of Epigeum programmes. The new Researcher Development Coordinator post will represent researchers' needs for Epigeum programmes.

**Measure of Success:** Epigeum tools in place and evidence of uptake gathered.

**Update 2017:** As noted above, we participated in the development of the Epigeum Impact Programme and the tools are now in place. However, the programme was delayed and the tools were delivered in late 2016, therefore we have not been able to benchmark and evidence uptake using them.

**Clause 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.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective

**Evidence for current compliance** (as of May 2015)

- We endeavour to provide continuity of employment for researchers between funding grants, whenever possible. Responsibility for finding such funding rests with Deans and Directors of Research Institutes.
- RIDO offers a range of support and training, see [http://web.anglia.ac.uk/anet/RIDO/uk\\_funding/index.phtml](http://web.anglia.ac.uk/anet/RIDO/uk_funding/index.phtml), including finding funding opportunities, see
- [http://web.anglia.ac.uk/anet/RIDO/uk\\_funding/Winning%20Research%20Funding.pdf](http://web.anglia.ac.uk/anet/RIDO/uk_funding/Winning%20Research%20Funding.pdf)

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Ensure we have a suitable institution-wide programme of training for our researchers to maintain and progress their careers	HRS/RIDO	Autumn 2016	We have continued to provide a variety of training and development for researchers to maintain and develop their careers, provided by HR Services, individual Faculties and through RIDO. The latter launched a significant new programme, the Research Funding Observatory, in January 2016. It has been renewed for 2017.
Participation in this programme will be monitored through the Researcher Forum and an annual feedback survey	RIDO	Annually in July	Following a change in DVC leadership in summer 2015 it was decided to refocus our efforts away from research-only staff specifically (of whom we have only a relatively low number) and rather to ensure that researchers more generally are properly supported while research-only staff are treated no differently. This has had consequences on the Researcher Forum and feedback survey in particular in place of which the university ran the ECR conference on 22 January 2016, including our research-only staff, most of whom are ECRs at Anglia Ruskin University. A good deal of feedback was collated on the day and through a follow up questionnaire which led to the development of an ECR Charter <a href="http://web.anglia.ac.uk/hr/policies/#/E">http://web.anglia.ac.uk/hr/policies/#/E</a>

**Measure of Success:** Institute the Researcher Forum to meet at least twice annually with at least 30% of researchers in attendance and ensure that researcher support and training is a key matter for discussion at Forum meetings.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Update 2017:** As noted above, a change in institutional direction meant that it was decided not to run the Researcher Forum at the current time, and to rely instead on other mechanisms to consult with our academic staff including our research-only staff. However, the consensus is that consulting with research-only staff specifically is valuable, and we will look to revisit this decision in due course.

**Clause 2.5**

Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.

**Evidence for current compliance** (as of May 2015)

Transparent procedures for progression within the pay framework have been agreed with the relevant trade unions and are in place. Pay progression within grade is incremental, subject to satisfactory performance. The grading review process is transparent and briefing sessions are provided.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Undertake a review of the Grading Review Procedure	HRS	Autumn 2015	Our Grading Review Procedure was revised and an amended version published in February 2016 (see also 1.5).

**Measure of Success:** Maintain satisfaction levels with equality of reward as demonstrated in CROS and PIRLS 2017 using a baseline to be determined by CROS and PIRLS 2015 (both closing 31 May 2015).

**Update 2017:** 78% of respondents to CROS 2015, and 75% of respondents to PIRLS 2015, were satisfied that staff were treated fairly, regardless of personal characteristics, in respect of reward.

Given the low numbers both of eligible participants and actual respondents to CROS and PIRLS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS or PIRLS 2017.

Staff satisfaction is proactively monitored through the biennial staff survey; our 2017 staff survey ran from 13 March to 7 April 2017 and the results will be analysed and available in the summer of 2017. This includes feedback on our pay and benefits package.

**Clause 2.6**

Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Evidence for current compliance** (as of May 2015)

- Staff development events are open to all staff and are promoted via HR Online and in *Bulletin*. Bursaries currently provide opportunities for researcher career development. Our People Strategy 2016/17 refers.
- Information for students and staff on the Researcher Development Framework is available on the RIDO Research Support (now Doctoral School) website - <http://web.anglia.ac.uk/anet/rido/docschl/info/rdf.phtml>

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Organise further focus groups with research staff to obtain feedback on development opportunities	RIDO	December 2015	Following a change in DVC leadership in summer 2015 it was decided to refocus our efforts away from research-only staff specifically (of whom we have only a relatively low number) and rather to ensure that researchers more generally are properly supported while research-only staff are treated no differently. This has impacted on our plans for specific focus groups for research-only staff.
Assess need for further sessions on the Researcher Development Framework and schedule if required	RIDO	Autumn 2015	The remit of the new Researcher Development Coordinator role includes mapping our provision against the RDF and assessing if further sessions on the RDF are needed.
Review the Early Career bursary Scheme and propose amendments to increase uptake	HRS	December 2015	Money set aside to fund ECR bursaries was redirected to fund some additional development sessions after very poor uptake in 2015. The scheme was discontinued in 2016; the ECR Charter developed later that year offers guidance and advice for career development, including a commitment of a minimum level of financial support available to all ECRs.
Develop and implement a post-doctoral 'staff charter' to support colleagues into publishing and becoming established researchers.	HRS/RIDO	Summer 2016	The development and implementation of a post-doctoral 'staff charter' was subsumed into an 'ECR charter' which was published in August 2016.

**Measure of Success:** Assess the extent to which staff use the RDF to support their professional development activity as demonstrated in CROS 2017 using a baseline to be determined by CROS 2015 (closes 31 May 2015).

**Update 2017:** 64.7% of Anglia respondents to CROS 2015 indicated some awareness of the Vitae Researcher Development Framework. Despite the level of awareness of expressed, only 23.6% of respondents agreed or strongly agreed that they made use of it in supporting their

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

continuing professional development. Given the low numbers both of eligible participants and actual respondents to CROS and PIRLS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS or PIRLS 2017.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**C: SUPPORT AND CAREER DEVELOPMENT**

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

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

**Clause 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 attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors

**Evidence for current compliance (as of May 2015)**

- Our Researcher Development Working Group provides feedback to the Research Committee.
- Our University Sabbatical Scheme encourages applications from Early Career Researchers. Efforts are made by the awarding panel to ensure that a reasonable proportions of ECRs are supported.
- Research staff have access to a wide range of training and development opportunities (see [http://web\(anglia.ac.uk/hr/training/](http://web(anglia.ac.uk/hr/training/) and [http://web\(anglia.ac.uk/anet/rido/docschl/training.phtml](http://web(anglia.ac.uk/anet/rido/docschl/training.phtml) ). Training is evaluated by participants and action taken as appropriate. Research staff may equally access the fee waiver scheme, including locally funded doctorates.
- We have a research staff mailbase that we use to inform researchers of development and other opportunities.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Consider implementation of a central 'hub' for researchers to locate information about development opportunities	RIDO & HRS	December 2015	Initial work to scope and develop a 'hub' for researchers contributed to the decision to create a new Researcher Development Coordinator post in part to carry this work forward. The restructuring of RIDO during 2016 meant that recruitment to this post was delayed. We expect to advertise in May 2017. In the meantime existing mechanisms such as HR Online have been used to promote development opportunities.
Continue to evaluate sabbatical outcomes to ensure return on investment. Monitor the applications and awards of the University Sabbatical Scheme in respect of ECR status	HRS	July 2015 and July 2016	Sabbatical outcomes are monitored annually. ECR take up of sabbaticals is also reviewed; see the Update 2017 against our measure of success below for data.
Review the usage of the research staff mailbase to improve its value as a communication tool	RIDO	Autumn 2015	The research-only staff mailbase continues to be reviewed and updated on a monthly basis from the starters and leavers list. In line with other comments about shifting the focus of our support away from research-only staff specifically to researchers including research-only staff, HRS are working to develop a robust mechanism to identify ECRs, record this information in our personnel database, and to create and update an ECR mailbase.

**Measure of Success:**

1. Maintain satisfaction levels with equality of treatment in respect of career development and experiential opportunities as demonstrated in CROS and PIRLS 2017 using a baseline to be determined by CROS and PIRLS 2015 (both closing 31 May 2015).
2. Increase the percentage of sabbaticals awarded to ECRs (compared to 10% in 2015).

**Update 2017:**

1. In CROS 2015, 64.7% of respondents agreed or strongly agreed that they were equally treated by comparison to other staff in terms of access to training and development. There was no question that asked about experiential opportunities specifically, but on average 61.3%



**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

of respondents were satisfied with equality of treatment in respect of opportunities to attend conferences and external meetings and to participate in decision-making processes. Given the low numbers both of eligible participants and actual respondents to CROS and PIRLS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS or PIRLS 2017.

2. In the sabbatical round judged in spring 2015, 10% of sabbatical recipients were ECRs. The following year, the proportion had risen to 14%. A new definition of ECR was introduced for the round judged in spring 2017, bringing it into line with that adopted for our ECR charter. This reduced the period of time someone might meet the definition of an ECR since having taken up a qualifying contract as a researcher from five years to three, but extended the definition to include having been awarded a doctorate in the past three years, or currently be studying for a doctorate. For the 2017 round, 40% of sabbatical recipients were ECRs.

**Clause 3.2**

A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.

**Evidence for current compliance (as of May 2015)**

- Career development is discussed and supported through induction, probation, appraisal and regular feedback. Researchers are encouraged to network widely. Cross-faculty initiatives are actively encouraged.
- The Job Families book is available on HR Online. This explains what is required in each job family, and at each level of progression, see <http://web.anglia.ac.uk/hr/staffarea/>
- A 'Building Your Academic Career' workshop is available to all academic staff

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review appraisal guidance to incorporate advice to research managers to ensure discussion of career development plans, engagement in appropriate activities and promotion expectations in the appraisal process	HRS	Autumn 2015	HR Services have continued to keep this under review.

**Measure of Success:** 90% of academic staff report that their manager discussed career development and/or promotion at appraisal in the post-appraisal survey.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Update 2017:** No post appraisal survey was undertaken in 2016, but career progression continues to be discussed at appraisal and is highlighted in appraisee/er training. Our VC's Green Paper suggests that we could do more on career progression for researchers and this is a possible direction of travel in our new strategic plan, which will be launched in June 2017.

**Clause 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

**Evidence for current compliance (as of May 2015)**

- A wide range of training and development activities are available to all our staff.
- All staff participate in the annual appraisal process. Research plans have been further embedded in the 2015 process showing our commitment to developing our activities in this area.
- Feedback from the staff survey, development events and appraisal is used to inform our provision of further development events and activities.
- All academic staff have a mentor as part of probation. We also have a mentoring scheme to support aspiring Readers and Professors - <http://web.anglia.ac.uk/hr/policies/>

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review communication channels used to promote development activities to ensure researchers are aware of the opportunities available	HRS & RIDO	Autumn 2015	HRS and RIDO have continued to review communication channels to ensure researchers are aware of opportunities available to them. For example, information about development opportunities offered by HRS appeared in Research and Innovation Round-Up in December 2015. The Research Funding Observatory launched in January 2016 and its development sessions on obtaining research funding are extensively advertised. An internal Communications Steering Group is also in place, chaired by the Director of HR, which is reviewing communication channels more generally.
Explore opportunities to expand mentoring opportunities.	HRS	Spring 2016	Various opportunities have been taken to expand mentoring opportunities, and participation has been increased. For example, the Women's Network has been used to promote the opportunity to mentor and be mentored. Our recently-introduced Individual Research Report (IRR) asked colleagues to declare if they wished to be mentored, or to act as a mentor. Mentoring has also been introduced for family leave returners, and is likely to be adopted by newly formed LGBT & BME networks. Our Athena SWAN group has proposed combining the various mentoring schemes together in one overarching scheme.

**Measure of Success:** CROS 2015 demonstrates that research staff find staff review/appraisal useful, specifically in helping provide a focus for career aspirations and how far they are met by their current role, leading to training or continuing professional development opportunities.

**Update 2017:** In CROS 2015 85.7% (12 people) of respondents found the process of staff review/appraisal useful or very useful. Ten of fourteen (71.4%) respondents felt staff review/appraisal was helpful in focussing on career aspirations and the extent to which these were met by their current role. The same proportion of respondents said that staff review/appraisal was useful or very useful in leading to training or development opportunities.

**Clause 3.4**

All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.

**Evidence for current compliance** (as of May 2015)

- Advice on career planning is available to all staff including the Building Your Academic Career workshop.
- We continue to facilitate interdisciplinary research, from individual projects to the Research Institutes, to reflect the overarching foci of research endeavours across the institution.
- Our work-shadowing scheme is open to all staff

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review and facilitate appropriate researcher skills and training opportunities.	RIDO	Annually in July	The remit of the new Researcher Development Coordinator role includes annually review of, and facilitating the introduction of, as appropriate, researcher skills and training opportunities.
Explore how we can introduce wider coaching and mentoring schemes (linked to 3.3).	HRS	Spring 2015	Following an informal system operated to assess the appetite for coaching, a paper making recommendations for adoption in Anglia Ruskin has been produced. As discussed in 3.3 above, significant advances have been made in mentoring schemes, which has led to participation increasing.
Work shadowing take up is very low for academic staff in comparison with support staff. Consider ways to promote more actively to reach a community who may not have thought about it	HRS	December 2016	Take up of the work shadowing scheme remains minimal for academics despite promotion through a variety of avenues, and recasting the scheme to offer specific opportunities to shadow specific individuals rather than more generally. This scheme has been discussed at our Equality & Diversity Group and is under review through our Athena SWAN mechanisms and is likely to be relaunched with a new name following feedback from female Professors and other academic staff. The new approach will place the focus on shadowing roles rather than individuals.

**Measure of Success:** Increase proportion of research staff engaged in work shadowing scheme to 30%

**Update 2017:** As noted, take up of the work shadowing scheme has not improved, and the proportion of staff engaged has not reached 30%.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Clause 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.

**Evidence for current compliance** (as of May 2015)

- Appraisal is aligned to our Corporate Plan, the Research Strategy and other strategic plans. Researcher plans form an integral part of the process for academic staff. Appraisal is evaluated annually.
- We continue to offer a suite of courses aimed specifically at research staff.
- External opportunities are also available, for example, working in collaboration with other HEIs to provide further sessions on career management, aimed particularly at ECRs.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review provision of training in relation to the RDF.	RIDO	Autumn 2015	The remit of the new Researcher Development Coordinator role includes mapping our provision against the RDF and assessing if further sessions on the RDF are needed.
Introduce a standing item on the Researcher Development Working Group agenda relating to career development of researchers. Ask all faculties to confirm local arrangements relating to career development under this item.	RIDO	December 2015	This was included in the agenda for RDWG in December 2015. RDWG was then in abeyance during 2016 due to staffing and structural changes. It was reconstituted in January 2017 and the standing item re local arrangements featured on the agenda in March 2017 and regularly thereafter.

**Measure of Success:** Standing item on Researcher Development Working Group.

**Update 2017:** The Researcher Development Working Group standing agenda item relating to faculty arrangements for the career development of researchers has been introduced.

**Clause 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

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.

**Evidence for current compliance** (as of May 2015)

- All staff complete a mandatory online induction complemented by a welcome event and local induction. Checklists are available for line managers to use during local inductions.
- All staff participate in appraisal and research planning is a core element of this for academic staff.
- RIDO work closely with faculties and continue to meet with Directors of Research twice a year to discuss the research environment and support for researchers.
- We continue to provide our 'UK Research Development Fund', which gives researchers up to £500 to go to a conference or other research event, or hold one of their own. The aim here is for researchers to enhance their professional development, network and meet other researchers. Alongside this the 'Early Career Research Staff Training Bursary' aims to develop professional skills and expertise. Funding may be applied for to achieve an identified career goal by, for example, attendance at events associated with career and professional development.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Monitor the extent to which staff find induction useful via CROS 2015. Repeat and review with CROS 2017	RIDO	Autumn 2015 and Autumn 2017	In CROS 2015, 61.5% of respondents found local induction to be useful or very useful. Only 38.5% found departmental useful or very useful and 53.9% found institutional wide induction useful or very useful. As noted, it has been decided not run CROS 2017.
Research Committee will receive a narrative report in relation to research planning in appraisal at their January 2016 meeting	HRS	January 2016	In the intervening period it was decided to adopt a revised approach to research reporting in appraisal, introducing the IRR mechanism alongside appraisal in 2016 to enable institutional capture of research information for management and development purposes.
Review the Early Career bursary Scheme and propose amendments to increase uptake	HRS	December 2015	Money set aside to fund ECR bursaries was redirected to fund some additional development sessions after very poor uptake in 2015. The scheme was discontinued in 2016; the ECR Charter developed later that year offers guidance and advice for career development, including a commitment of a minimum level of financial support available to all ECRs.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Measure of Success:** 30% of research staff make use of UK Research Development Fund

**Update 2017:** The UK Research Development Fund is one of a number of initiatives that have been dropped in favour of supporting the Research Funding Observatory which offers a coherent package of training and development opportunities, primarily focussed around research grant bidding. The RFO offers a Travel and Bursary Scheme supporting travel, networking, replacing the components of the UK Research Development Fund. Up to £1,000 is available to an individual, with a maximum of £3,000 per Faculty. Twenty such bursaries were awarded from the RFO Travel and Networking Fund in 2016.

**Clause 3.7**

Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students

**Evidence for current compliance** (as of May 2015)

- The Job Families Booklet clearly articulates the skills and experience required at each level, see <http://web.anglia.ac.uk/hr/staffarea/>
- We ensure that research staff (e.g. through the research staff and supervisors mailbases) are aware of training opportunities. Details of RIDO training opportunities are available on the RIDO website <http://web.anglia.ac.uk/anet/rido/docschl/training.phtml> . An Epigeum course on Professional Skill for Research Leaders has been developed and delivered.
- Postdoctoral researchers are encouraged to join a supervisory team. To do this, they must undertake supervisor training. The supervisor training programme is provided at least twice a year.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review training records process to ensure that all training and development (including activities run by RIDO) are recorded on individual staff records on HR database.	RIDO/HRS	Spring 2016	All training is recorded on the HRS database (Agresso). Refresher training has been provided to relevant RIDO staff in February 2017 to enable them to update Agresso around attendance at development sessions e.g. as offered through the RFO, and around research ethics practice and processes.
Review CROS, staff survey and appraisal outcomes to ensure any identified training needs are addressed.	HRS/RIDO	December 2015	CROS 2015 outcomes were written up and considered by Research Committee. Staff survey and appraisal outcomes, including training needs, continue to be reviewed by colleagues in HR Services and Anglia Learning and Teaching (ALT).
Add a training & development section to new RIDO webpages and establish how these will be kept up to date.	RIDO	Summer 2016	Preliminary work done on data collection to facilitate the creation of the proposed web page 'hub' was one of a number of activities that led to the realisation that our researcher development plans justified the creation of a new post. However, further restructuring in RIDO as already discussed, meant that it was not opportune to introduce this immediately. The new Researcher Development Coordinator post will be advertised in May 2017.

**Measure of Success:** RIDO web pages detailing training and development for research staff created. Review appropriateness and usage by our researchers through the Researcher Forum.

**Update 2017:** As discussed above, the 'hub' web pages will fall under the remit of the new Researcher Development Coordinator role. This role will also be expected to review the appropriateness and usage of such a page, moving away from the original intention to deliver this through the Researcher Forum, which as noted above, a change in institutional direction meant it was decided not to run. HR Services are creating a more generic staff development hub which will complement the research-specific initiatives. RIDO colleagues are represented on the working group.

### **Clause 3.8**

Employers also should provide a specific research career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements



**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Evidence for current compliance** (as of May 2015)

- Feedback from CROS 2013 identified that researchers are encouraged to engage in personal and career development. All staff participate in appraisal and researchers will complete a research plan as an integrated part of this process. From 2015 appraisal will be fully online making ongoing monitoring of progress with objectives easier.
- All academic staff have a mentor as part of our probation process.
- We have an annual grading review procedure, which is open to all staff, see <http://web.anglia.ac.uk/hr/policies/>

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Continue to ensure that research managers are aware of their responsibilities under the Concordat (by communication, briefing sessions etc)..	RIDO	Annual email reminder every autumn	A reminder appeared in the December 2015 edition of our Research & Innovation Round-up publication (Issue 4 p18). RIDO attend the Staff Welcome induction events to engage with new staff, provide information and answer any questions. Copies of the Concordat are available at these events. A reference to the Concordat is included in the Induction Checklist for new starters.
Monitor completion of research plans during appraisal.	Deans/HRS	Annually in autumn	Appraisal data for 2015 shows all academic staff who were appraised completed their research plans; data from the 2016 appraisal round is being evaluated at present.
Monitor provision of a mentor through probation process.	Deans/HRS	Annually in autumn	Each probationer continues to be allocated a mentor and these are reviewed by the probation panel to ensure suitability. This is embedded in HR practice.
Monitor the number of researchers who apply for regrading and compare their annual success rate with other academic members of staff	HRS	Annually in autumn	This is monitored annually; see Measure of Success below.

**Measure of Success:** Success rate of researchers applying for regrading is comparable with other academic members of staff.

**Update 2017:** In 2015 100% of grade 5-6 researcher grading review applications were successful compared to a 93% success rate for grade 5-6 applications from other academic staff. Similarly, in summer 2016, all grade 5-6 researcher grading review applications were successful, the same as for all academic staff.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Clause 3.9**

Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices

**Evidence for current compliance** (as of May 2015)

- Our appraisal scheme encourages all staff to participate in CPD activities. A range of development activities are available to our staff and promoted regularly.
- We continue to provide work shadowing, mentoring and coaching opportunities e.g. through the Mentoring Scheme for Aspiring Readers and Professors and all academic staff having a mentor as part of probation.
- Mandatory training is monitored as part of our probation process and staff / line managers are encouraged to think about future development requirements.
- The number of days of development undertaken by staff is monitored through our appraisal process

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Continue to review the appraisal scheme regularly via the Appraisal Working Group.	HRS	Annually in autumn	From 2017 appraisal is considered a part of our routine processes and the Appraisal Working Group has been abolished. Staff appraisal outcomes, including training needs, continue to be overseen by managers and reviewed by colleagues in HR Services and ALT.
Monitor completion of research plans Monitor CPD undertaken by staff through the appraisal process	HRS	Annually in autumn	Measure of academic CPD days reported annually to ALT who exist to support our academic staff in relation to learning, teaching and assessment. We report appraisal CPD data so that provision can be reviewed and planned. Staff continue to be encouraged to participate in training and development activities.

**Measure of Success:** CROS 2015 will give data about areas in which research staff have undertaken or wish to undertake professional development activities. CROS 2017 will show that a larger proportion of our research staff have undertaken these activities.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Update 2017:** In CROS 2015 six Anglia respondents (37.5%) said they had undertaken training or other professional development activities in career management; the remaining ten respondents (62.5%) said they would like to participate in such training. Four Anglia respondents (23.5%) said they had undertaken training or other professional development activities in leadership and management and eight respondents (47.1%) said they would like to. Given the low numbers both of eligible participants and actual respondents to CROS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS 2017. Data from our 2017 staff survey will be used in its place.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**C: SUPPORT AND CAREER DEVELOPMENT**

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

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

**Clause 4.1 (10)**

Researchers should be empowered by having realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.

**Evidence for current compliance (as of May 2015)**

- Our appraisal system has a clear focus on performance and development and incorporates individual Research Plans. It ensures that honest and transparent advice is given. All staff must complete either appraiser or appraisee training as appropriate.
- Researchers are encouraged to attend internal and external career development events e.g. our 'Managing your first Research Group' session. They are also encouraged to network widely to widen their horizons about opportunities in other areas. Cross-faculty initiatives are actively encouraged so that researchers can get a feel for where they best fit.
- The Researcher Development Working Group is already established.
- All staff are offered opportunities to develop their careers. The revised generic job description and person specification for Levels 4, 5 and 6 for research staff specifically take account of career development opportunities.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Continue to monitor completion of appraisal training through probation process.	HRS	Annually in autumn	This is embedded in HR processes.
Participate in the Epigeum 'Impact' programme to develop tools to assess Epigeum usage. Review methods of promoting Epigeum programmes to increase uptake.	RIDO	Summer 2016	We participated in the development of the Epigeum Impact Programme. The tools were rolled out as soon as they became available in late 2016. As part of the creation of the Doctoral School a new Researcher Development Programme Manager was appointed, part of whose remit is the wider review of Epigeum programmes, in collaboration with the new Researcher Development Coordinator whose focus will be on research staff development needs.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Measure of Success:** 100% of researchers are appraised annually/

**Update 2017:** Not all researchers are appraised annually – recently-appointed colleagues who are subject to our probationary processes are not also required to undertake appraisal. All other staff – 89% of our total staff in 2016 – are appraised annually.

**Clause 4.2 (11)**

Employers will wish to ensure that development activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible so that researchers are not duly disadvantaged when moving from one employer to another

**Evidence for current compliance** (as of May 2015)

- Researchers have access to opportunities for preparation for academic practice. In addition to training opportunities, research staff are encouraged, where possible, to join supervisory teams, and undertake teaching.
- We recognise CPD schemes from other employers and also credit prior learning.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Use CROS 2015 to check that researchers are aware that they can use development opportunities when working on a fixed term contract.	RIDO	Summer 2015	CROS 2015 was used to check that researchers on fixed term contracts are aware they can access development opportunities. This is discussed further in 'Measure of Success' below.

**Measure of Success:** CROS 2015 demonstrates that researchers are aware that they can use development opportunities when working on a fixed term contract.

**Update 2017:** In CROS 2015, 70.6% of our respondents reported being on a fixed-term contract. Focussing solely on the responses given by these colleagues, 70% said that they found appraisal to be useful or very useful in leading to training or other opportunities for CPD. Two thirds agreed or strongly agreed that they were encouraged to engage in personal and career development. All or almost all said they had undertaken, or wished to undertake, training and other CPD across the variety of areas focussed on by CROS 2015. None of this implies that these staff are not aware they can take up development opportunities although employed on fixed term contracts.

**Clause 4.3 (12)**

Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Evidence for current compliance** (as of May 2015)

Where researchers are involved in teaching they have access to the PG Cert for HE programme, the Teaching Review Scheme and other development provided by ALT in relation to this aspect. The PG Cert already forms part of our probationary processes.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Monitor uptake through the Researcher Development Forum	HRS / Heads of Academic Departments / Directors of Research Institutes	Annually in autumn	As noted above, a change in institutional direction meant that it was decided not to run the Researcher Forum. The PG Cert for HE programme continues to be part of our academic probation scheme, which includes most research-only staff. All research-only staff can apply to the PG Cert.

**Measure of Success:** A majority of respondents to CROS 2015 indicate they have undertaken CPD in respect of teaching or lecturing.

**Update 2017:** Nine respondents to CROS 2015 (56.3%) indicated they had undertaken CPD in respect of teaching or lecturing; 12.5% wished to.

**Clause 4.4 (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 and management committees

**Evidence of current compliance** (as of May 2015)

Researcher representatives are present on university committees. This varies according to the constitution of the committees and sub-committees as specified in their respective Terms of Reference

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Investigate researcher representatives on Faculty Boards and look at ways to increase this.	Academic Registry	December 2015	We have made efforts to increase researcher representation wherever possible. For example, the constitution of our Research Committee has been modified to include a specific representative of our post-doctoral community, and a specific representative of our Early Career Researcher community, as well as PGR representatives. Comparable steps are being taken at Faculty level to ensure similar representation of researchers.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Measure of Success:** All Faculty Boards have a researcher representative.

**Update 2017:** As noted we have made efforts to increase researcher representation where possible. Given the relatively low numbers of research-only staff and the realities of their employment patterns across our institution, it is not practical to have a standard approach to doing this. For example, in our Faculty of Science and Technology, ECRs and PhD representatives are included on Faculty Board and Faculty Research Committee. Researchers are also represented by Directors of Research Institutes on these forums, and at Faculty Management Team.

**Clause 4.5 (14)**

Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement

**Evidence for current compliance** (as of May 2015)

We have a range of mentoring opportunities available, particularly during probation where this is a key component.

Actions	Responsibility	Timescale	Update 2017
Consider implementation of further mentoring schemes	HRS	Spring 2016	Various opportunities have been taken to expand mentoring opportunities, and participation has been increased. For example, the Women's Network has been used to promote the opportunity to mentor and be mentored. Our recently-introduced Individual Research Report (IRR) asked colleagues to declare if they wished to be mentored, or to act as a mentor. Mentoring has also been introduced for family leave returners, and is likely to be adopted by newly formed LGBT & BME networks. Our Athena SWAN group has proposed combining the various mentoring schemes together in one overarching scheme.

**Measure of Success:** HRS to report on options available and assess necessity for further mentoring schemes as applied to researchers which will be adopted if appropriate by Spring 2016.

**Update 2017:** Various opportunities have been taken to expand mentoring opportunities, and participation has been increased. For example, the Women's Network has been used to promote the opportunity to mentor and be mentored. Our recently-introduced Individual Research Report (IRR) asked colleagues to declare if they wished to be mentored, or to act as a mentor. Mentoring has also been introduced for family

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

leave returners, and is likely to be adopted by newly formed LGBT & BME networks. Our Athena SWAN group has proposed combining the various mentoring schemes together in one overarching scheme.



**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**D: RESEARCHERS' RESPONSIBILITIES**

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

**Clause 5.1**

Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers

**Evidence for current compliance** (as of May 2015)

- Our work shadowing scheme is available to all staff.
- Our Sabbatical Scheme guidance encourages applications from ECRs.
- Annual research conferences e.g. Research Student Conference and staff Research Conference. Faculties also run their own conferences.
- Our appraisal scheme is complemented by our *Personal Qualities at Work* document <http://web.anglia.ac.uk/hr/policies/>

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Work shadowing take up is very low for academic staff in comparison with support staff. Consider ways to promote more actively to reach a community who may not have thought about it	HRS/RIDO	December 2016	Take up of the work shadowing scheme remains minimal for academics despite promotion through a variety of avenues. This scheme is under review and is likely to be relaunched with a new name following feedback from female Professors and other academic staff. The new approach will place the focus on shadowing roles rather than individuals.
Review arrangements for the Research Supervisor Conference.	RIDO	Summer 2015	Review of the Research Supervisor Conference arrangements was postponed while our Doctoral School was brought into being. Under the direction of the newly-appointed Researcher Development Programme Manager, the arrangements were reviewed in early summer 2016, and the decision taken to run it on a biennial basis. An event was run in late 2016, with 70+ attendees, and a follow-up is planned for late 2018.
Consider running a new Innovation Conference and / or an annual REF-related event	RIDO	Autumn 2015	Our first Innovation and Knowledge Exchange conference took place on 16 September 2015. A second event was organised on 13 September 2016. We plan a third in early autumn 2017. We ran our inaugural REF Awayday on 28 October 2015, and a second event on 26 October 2016. We plan a third in November 2017.

**Measure of Success:**

1. Increase proportion of research staff engaged in work shadowing scheme to 30%
2. Innovation Conference becomes an annual event.

**Update 2017:**

1. As noted, take up of the work shadowing scheme has not improved, and the proportion of staff engaged has not reached 30%.
2. The Innovation Conference has now run twice, and a third event is in preparation for autumn 2017.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Clause 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

**Evidence for current compliance** (as of May 2015)

- Grant applications for 3<sup>rd</sup> stream income generation are increasing.
- Industrial sabbaticals available via sabbatical scheme open to all staff. <http://web.anglia.ac.uk/hr/policies/>
- The Epigeum online research skills training modules provide support in developing transferable skills  
<http://web.anglia.ac.uk/anet/rido/docschl/training/Epigeum.phtml>
- The Intellectual Property (IP) Subcommittee meets on an ad hoc basis. IP guidelines and training are available to researchers.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Form Innovation and Knowledge Exchange Sub-committee	RIDO	Spring 2016	The Innovation and Knowledge Exchange Sub-Committee met for the first time on 7 January 2016. Subsequent meetings took place in April and September 2016, and January 2017.
Monitor faculties for areas of good practice which are then shared and transferred with assistance of DoRs	RIDO/Directors or Research	Twice yearly meetings of Directors of Research	While the Directors of Research group has been disbanded, DoRs meet frequently through membership of other committees including Innovation & Knowledge Exchange Sub-Committee. The absence of examples of good practice to be shared has led directly to a review of our intellectual property and commercialisation processes, with an intention that a greater proportion of our academic community will actively engaged in knowledge transfer activities to achieve greater impact for their research.

**Measure of Success:** Epigeum 'Impact' programme for Research Skills joined

**Update 2017:** We participated in the development of the Epigeum Impact Programme. The tools were rolled out as soon as they became available in late 2016. The impact of the training Epigeum provides in developing transferable skills is not yet known.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Clause 5.3**

Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge

**Evidence for current compliance** (as of May 2015)

- We have a Procedure for the Investigation of Allegations of Misconduct in Research.
- Information on The Concordat to Support Research Integrity is provided to all our research staff and is available at our Corporate Induction event. Research Ethics and Integrity training is available for all staff including an online provision. (see [http://www\(anglia.ac.uk/researchtraining\)](http://www(anglia.ac.uk/researchtraining))
- Researchers are encouraged to upload their publications in our institutional repository for research, ARRO ('Anglia Ruskin Research Online').

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Update procedure on allegations of misconduct in research in the light of best practice elsewhere	RIDO	Autumn 2015	An updated version of our 'Guidance for the Investigation of Allegations of Misconduct in Research' was published in October 2015. It is now being further reviewed to take into account sector-wide best practice, to be considered at our Research Ethics Sub Committee and Research Committee.
Provide training for research staff in output deposit, data management and storage (in an open-access repository)	RIDO	Autumn 2016	We have had an extensive programme of information and training around the need for and processes for deposit of research outputs into our open access repository, ARRO. Equivalent activities around research data management and storage have developed more slowly.

**Measure of Success:**

1. Updated Procedure for the Investigation of Allegations of Misconduct in Research published by autumn 2015.
2. All researchers deposit their outputs in ARRO within three months of the date of acceptance as of 1 April 2016

**Update 2017:**

1. An updated version of our our 'Guidance for the Investigation of Allegations of Misconduct in Research' was published in October 2015.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

2. A university policy requiring all researchers to deposit their outputs, where published as journal articles and conference contributions, in our open access repository, ARRO, within three months of the date of acceptance, was approved in February 2016. An extensive programme of training and information briefing sessions and other publicity activities has been undertaken to promote the policy and to ensure colleagues are able to fulfil the requirements of this policy. However, to be able to claim that all researchers now comply with this measure of success requires knowing exactly which researchers have generated what outputs within three months of the date of their acceptance, which is challenging, as HEFCE has acknowledged in relaxing its policy for the next REF to deposit being required within three months of publication. The number of outputs submitted in good time to enable compliance has steadily increased, and the number of outputs known to have failed to comply, has steadily decreased over the period.

**Clause 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

**Evidence for current compliance** (as of May 2015)

- Performance and career development are discussed at appraisal. The importance of regular feedback (not just through annual appraisal) is clear in appraisal guidance and training.
- Our Job Families Booklet clearly sets out expectations at each grade

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Ensure that researchers are aware of the Researcher Development Framework	Directors of Research	December 2015	While the Directors of Research group has been disbanded, DoRs meet frequently through membership of other committees. CROS 2015 data (reported more fully below) indicated just under two thirds of researchers have some awareness of the RDF. In order to further promote it we have, for example, included it in an externally-facing web page discussing our researcher development provision, and it was also featured in our ECR conference in January 2016. The remit of the new Researcher Development Coordinator role includes mapping our provision against the RDF and assessing if further sessions on the RDF are needed.

**Measures of Success:** Assess the extent to which staff use the RDF to support their professional development activity as demonstrated in CROS 2017 using a baseline to be determined by CROS 2015 (closes 31 May 2015).

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Update 2017:** In CROS 2015, 64.7% of Anglia respondents reported some awareness of the RDF, a better proportion than in CROS 2015 respondents overall. However, only 23.6% of Anglia respondents agreed or strongly agreed that they made use of it in supporting their continuing professional development. Given the low numbers both of eligible participants and actual respondents to CROS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS 2017.

**Clause 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

**Evidence for current compliance (as of May 2015)**

- From CROS 2013 it is evident that most respondents have a career development plan in place. This begins during probation and is developed / monitored through the appraisal cycle.
- Researchers are encouraged to take ownership of their own career development and are made aware of all the development opportunities that are available. We have a link on our website to the Concordat briefings including the briefing for managers of researchers  
<http://web.anglia.ac.uk/anet/RIDO/research/concordat.phtml>

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Identify and support any staff who do not have a development plan in place.	Faculty Directors of Research/managers of researchers	Annually through appraisal cycle which runs from April to July each year	All staff are encouraged to complete the IRR and to engage in training and career development opportunities.

**Measure of Success:** All research staff have a development plan in place by 2017.

**Update 2017:** Academic staff are asked to summarise their performance against the research plan set the previous year in Section 1.3 of their appraisal. Specific details of completed and forthcoming outputs, impacts and other research activities are entered in the IRR. Both IRR and

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

appraisal encourage discussion around career development. In CROS 2015, most staff continued to report that they had a career development plan in place

**Clause 5.6**

Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate

**Evidence for current compliance (as of May 2015)**

Career development is discussed regularly and CPD is recorded as part of the annual appraisal process.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Monitor use of the Researcher Development Framework through CROS 2015	RIDO	Summer 2015/Spring 2016	In CROS 2015, 64.7% of Anglia respondents reported some awareness of the RDF, a better proportion than in CROS 2015 respondents overall. However, only 23.6% of Anglia respondents agreed or strongly agreed that they made use of it in supporting their continuing professional development. Given the low numbers both of eligible participants and actual respondents to CROS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS 2017. The remit of the new Researcher Development Coordinator role includes mapping our provision against the RDF and assessing if further sessions on the RDF are needed.

**Measure of Success:** Assess the extent to which staff use the RDF to support their professional development activity as demonstrated in CROS 2017 using a baseline to be determined by CROS 2015 (closes 31 May 2015).

**Update 2017:** In CROS 2015, 23.6% of Anglia respondents agreed or strongly agreed that they made use of the RDF in supporting their continuing professional development, though this was a higher proportion than was the case across CROS 2015 respondents overall. Given the low numbers both of eligible participants and actual respondents to CROS despite best efforts, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS 2017.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**E: DIVERSITY AND EQUALITY**

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

**Clause 6.1**

The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression

**Evidence for current compliance** (as of May 2015)

- We comply with the Equality Act and have published equality objectives until 2016 as part of an action plan.
- We are a double-tick Positive about Disabled People (JIGS) employer, members of Inclusive Employers and were the first university to join Stonewall's Diversity Champions programme.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Monitor researchers' views on our commitment to equality & diversity through CROS 2015	RIDO	Summer 2015/Spring 2016	CROS 2015 captured information about researchers' views on equality and diversity; see measure of success below.

**Measure of Success:** All respondents to CROS 2015 indicate that our institution is committed to equality and diversity.

**Update 2017:** Only 94.1% of respondents to CROS 2015 agreed or strongly agreed that Anglia is committed to equality and diversity. This meant that one respondent did not supply this answer, saying instead that they did not know.

**Clause 6.2**

As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.

**Evidence for current compliance** (as of May 2015)

- All staff are required to undertake equality & diversity training during probation.
- We were awarded an institutional Athena SWAN Bronze Award in Spring 2015



**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Progress applications for Athena SWAN departmental awards	Athena SWAN Working Group	Reviewed throughout the year at quarterly meetings of the Athena SWAN Working Group	Our institutional Athena SWAN Working Group has met regularly to oversee the development of departmental applications for Athena SWAN accreditation. Having reviewed the application requirements, we are taking forward Faculty, rather than departmental, applications for departmental awards.

**Measure of Success:** At least one department developing an application for Athena SWAN departmental awards during 2016 with a view to having submitted the application by November 2017.

**Update 2017:** Our Faculty of Science and Technology (FST) is developing a departmental award application for November 2017. It is probable that an application will also be made from our Faculty of Health, Social Care and Education (FHSCE) though their preparations are at an earlier stage. ALSS (Arts, Law and Social Sciences) and LAIBS (Lord Ashcroft International Business School) are aiming to apply in April 2018.

**Clause 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

**Evidence for current compliance (as of May 2015)**

- We vigorously complied with the REF arrangements to consider special circumstances.
- We have Dignity at Work & Study and Grievance Procedures in place which all staff can access if necessary.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review the principles of the REF regarding staff circumstances and ensure they are applied to our researcher support, where appropriate.	HRS/RIDO	Autumn 2015	Our processes for the appointment of Professors and Readers, or promotion to these roles, acknowledge and take steps to allow for the consideration of individual circumstances which may have constrained a researcher's ability to undertake research. We have not yet formally extended this approach to other equivalent processes.
Continue to monitor researcher experience in relation to equality of treatment through CROS.	RIDO/HRS	Biennial	CROS 2015 asked for respondents' views on a number of aspects of equality of treatment. Across a variety of such aspects, an average of 67% agreed or strongly agreed they were equally treated, in comparison to other types of staff. Across a variety of personal characteristics, an average of 74.5% of respondents agreed or strongly agreed that staff at Anglia Ruskin were equally treated.

**Measure of Success:** By summer 2016 a revised process involving the principles of the REF regarding staff circumstances will have been successfully implemented.

**Update 2017:** As noted above, we have formally incorporated a REF-type approach to the recognition of staff circumstances into the appointment process for Professors and Readers; in other areas, for example in sabbatical assessment, we informally recognise individual circumstances where appropriate. In the first iteration of our IRR we have asked researchers to indicate whether or not they have any circumstances to declare that may have constrained their productivity; alternatively, respondents may declare that they prefer not to answer.

However, the relevance of the REF as model for such arrangements has been challenged by the recommendations of the Stern Review of the REF and the subsequent consultation on the next exercise, which may well move away from a system requiring the submission or recognition of individual staff circumstances. While we will wish to continue to recognise individual staff circumstances, if this were to happen a REF-derived model may no longer be appropriate.

#### **Clause 6.4**

Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the "early career" period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Evidence for current compliance** (as of May 2015)

- We have a fully embedded Flexible Working Policy. The guidance was reviewed in spring 2015 to make it more user friendly.
- Feedback is monitored through the biennial Staff Survey. This survey is outsourced to Capita to encourage high response rates and enable benchmarking against other HEIs

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Review Staff Survey results, report these to CMT and formulate action plans to address identified areas for improvement	HRS/Deans & Directors	Summer 2015	The results of the 2015 staff survey were reported to CMT, and arising from this every Faculty and Service was required to develop and progress plans to address the issues pertinent to them, to be measured by CMT.

**Measure of Success:** CROS 2015 demonstrates that a majority of respondents believe they are equally treated in comparison to other types of staff in relation to requests for flexible working

**Update 2017:** CROS 2015 demonstrated that 87.5% of respondents agreed or strongly agreed that they were equally treated in comparison to other types of staff in relation to requests for flexible working. This was our best outcome in terms of perceived equality of treatment by comparison to other types of staff.

**Clause 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

**Evidence for current compliance** (as of May 2015)

Flexible working applications from all staff are considered fairly and based on the merits of each case.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Regularly review our flexible working process in the light of changes in legislation and best practice	HRS	Annually in autumn	This is embedded in HR practices. In the last year we have supported the introduction of a Flexible Working Forum, and in December 2016 CMT agreed that we would further embed flexible working into our culture, approving our adoption of the Working Families 'happy to talk flexible working' strapline and to sign up to the Timewise 'hire me my way' campaign. HR Services are working with line managers to embed flexible working in our employment culture.

**Measure of Success:** CROS 2015 demonstrates that a majority of respondents believe they are equally treated in comparison to other types of staff in relation to requests for flexible working

**Update 2017:** CROS 2015 demonstrated that 87.5% of respondents agreed or strongly agreed that they were equally treated in comparison to other types of staff in relation to requests for flexible working.

**Clause 6.6**

Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave

**Evidence for current compliance** (as of May 2015)

- All our policies are regularly reviewed and amended in light of changes to legislation e.g. we have recently introduced guidance on shared parental leave.
- Enhanced pay arrangements are in place for maternity, paternity and shared parental leave for all eligible staff.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Regularly review policies and funding arrangements	HRS	Annually in autumn	This is embedded in HR practices. In late 2016, we introduced a returners fund for colleagues returning from a period of family related leave. This is to enable them to continue their research. A survey was conducted on academic staff returning from maternity leave and while only small numbers, there was a consensus that we could make better use of keeping in touch days.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

**Measure of Success:** All staff policies are fully compliant with the latest legislative requirements.

**Update 2017:** All our staff policies are regularly reviewed, usually not less than once every three years, and whenever legislative requirements change. All of our staff policies are fully compliant with the latest legislative requirements.

**Clause 6.7**

Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below

**Evidence for current compliance** (as of May 2015)

- We have challenging equality targets which specifically relate to senior managers and professors, see <http://web.anglia.ac.uk/equalops/>
- Our annual report sets out progress against the targets and is reviewed by the Equality and Diversity Group, CMT and at Board level.
- Recruitment panels are constructed to achieve equality and diversity balance at the recruitment stage.

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Continue to monitor progress against our targets	HRS / Equality & Diversity Group / CMT	Annually in autumn	Progress against our targets continues to be monitored by our Equality & Diversity Group. A new Equality, Diversity & Inclusion Action Plan has been agreed for 2016-20 including a new set of targets.

**Measure of Success:** Achieve at least 40% female representation on Faculty Sub-Committees by April 2017.

**Update 2017:** Overall 52% of members of our Faculty Boards were female in the 2015-16 academic year which is the year for which most recent information currently exists. This masks a variance of between 33% and 77% female representation in individual faculties; meanwhile of Senate, all its subcommittees and Faculty Boards ten of thirteen met our People Strategy 2016/17 target of 45% female representation. We will continue to monitor and pro-actively pursue greater gender balance. The next edition of the Constitution of Senate and its Standing Committees will include an instruction to chairs that they should be mindful to ensure that membership of their committee is representative of Anglia Ruskin's community and may co-opt members to achieve improved diversity. At present, the gender balance of Anglia Ruskin staff is approximately 60% female and 40% male.

**Clause 6.8**

Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups

**Evidence for current compliance** (as of May 2015)

Individual circumstances are taken into account when considering requests for flexible working. All staff can make an application to work flexibly

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Regularly review policies	HRS	Annually in autumn	All our staff policies are regularly reviewed, usually not less than once every three years, and whenever legislative requirements change.

**Measure of Success:** CROS 2015 demonstrates that a majority of respondents believe they are equally treated in comparison to other types of staff in relation to requests for flexible working

**Update 2017:** CROS 2015 demonstrated that 87.5% of respondents agreed or strongly agreed that they were equally treated in comparison to other types of staff in relation to requests for flexible working.

**Clause 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

**Evidence for current compliance** (as of May 2015)

Our Dignity at Work & Study Policy and Grievance Procedure are available on HR Online and can be used to raise any concerns. These are reviewed on a regular basis.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Monitor concerns in relation to discrimination, bullying and harassment through Staff Survey and CROS	HRS/RIDO	Biennial	Results of neither our 2015 staff survey nor CROS 2015 highlighted significant concerns in relation to discrimination, bullying and harassment. Given the low numbers both of eligible participants and actual respondents to CROS, not only in 2015 but also in previous rounds, casting doubt on the representativeness, robustness and value of response data, it was decided not to participate in CROS 2017. Our 2017 staff survey ran from 13 March to 7 April 2017 and the results will be analysed and available in the summer of 2017.

**Measure of Success:** Biennial staff surveys (2015 and 2017) do not reveal any cause for concern in respect of discrimination, bullying or harassment.

**Update 2017:** As noted our 2015 staff survey did not reveal any cause for concern in respect of discrimination, bullying or harassment. Our 2017 staff survey has recently concluded and the results will be analysed and available in the summer.

**Clause 6.10**

Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers

**Evidence for current compliance** (as of May 2015)

We were awarded an institutional Athena SWAN Bronze Award in April 2015.

**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
'The Concordat to support the Career Development of Researchers' - Updated for External Review May 2017**

<b>Actions</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>Update 2017</b>
Progress departmental award applications.	Athena SWAN Working Group	Reviewed throughout the year at quarterly meetings of the Athena SWAN Working Group	Having reviewed the application requirements, we are taking forward Faculty, rather than departmental, applications for departmental awards.
Monitor progress against our Athena SWAN action plan	Athena SWAN Working Group	Reviewed throughout the year at quarterly meetings of the Athena SWAN Working Group	We have completed most of the actions proposed in our Athena SWAN action plan, and continue to monitor 'ongoing' actions. Reporting against our progress will be part of an institutional reaccreditation of our Bronze award, or upgrade to Silver, which is due to be submitted in April 2018.

**Measure of Success:** At least one department developing an application for Athena SWAN departmental awards during 2016 with a view to having submitted the application by November 2017

**Update 2017:** Our Faculty of Science and Technology (FST) is developing a departmental award application for November 2017. It is probable that an application will also be made from our Faculty of Health, Social Care and Education (FHSCE) though their preparations are at an earlier stage. ALSS and LAIBS are aiming to apply in April 2018.



**Gap Analysis and Action Plan (2013-2017) to support the implementation of  
‘The Concordat to support the Career Development of Researchers’ - Updated for External Review May 2017**

**GLOSSARY**

<b>Acronym</b>	<b>Full title</b>
ALSS	Arts, Law and Social Sciences
ALT	Anglia Learning and Teaching
ARRO	Anglia Ruskin Research Online, an institutional open access repository
ATHENA SWAN	see <a href="http://www.athenaswan.org.uk">http://www.athenaswan.org.uk</a>
CMT	Corporate Management Team
CPD	Continuing Professional Development
CROS	Careers in Research Online Survey
DOR	Director of Research
ECR	Early Career Researcher
FHSCE	Faculty of Health, Social Care and Education
FST	Faculty of Science and Technology
HEI	Higher Education Institution
HRS	Human Resource Services
IRR	Individual Research Report
JIGS	Job Interview Guarantee Scheme
LAIBS	Lord Ashcroft International Business School
PDP	Personal Development Plan
PG Cert for HE	Post Graduate Certificate for Higher Education
PIs	Principal Investigators
PIRLS	Principal Investigators and Research Leaders Survey
RIDO	Research and Innovation Development Office (formerly RDCS – Research, Development and Commercial Services)
RDF	Researcher Development Framework
REF	Research Excellence Framework