

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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:

- We use essential criteria in Person Specifications to ensure that all those recruited will advance research.

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.

Evidence for current compliance:

- We have been approved as a Disability Confident Employer (second level – the first being 'Committed'). This reinforces our commitment to the recruitment and retention of disabled people and our aspiration is to ultimately become a Disability Confident Leader. We have an action plan in place to achieve this.
- Our updated Disability in the Workplace Guidance was approved by our Equality, Diversity & Inclusion Group in February 2017 and CMT in April 2017.
- We are 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)
- 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. The documents are approved by the relevant CMT member and are checked and amended by HR Services colleagues. We have up-to-date job descriptions and person specifications, to ensure consistency across the institution.
- HR Services monitor data on the diversity of applicants and appointees on an annual basis.

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:

- Fixed term posts are only advertised as such when there is a justifiable reason, e.g. linked to funding which has no reasonable prospect of renewal, in line with our Fixed Term Employment Policy and Procedure.
- Successive fixed term contracts are always reviewed at the point of renewal.
- We continue to adhere to our Fixed Term Employment Policy and Procedure (2014) <http://web.anglia.ac.uk/hr/policies/#F>
- The use of fixed term contracts and research funding is clearly set out in points 3.2 and 3.4 of the policy. The procedure is detailed in section 4 of the policy document.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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 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:

- Our Recruitment and Selection Policy is being revised, taking into account changes around e-recruitment. The revisions will result in a better recruitment process for both the hiring manager and applicant.
- 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.
- We have KPIs for the percentage of candidates and recruiting managers satisfied with the recruitment experience.
- The Recruitment Team KPIs are regularly monitored and reviewed in respect of service delivery and customer service.

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:

- 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 revised and amended in February 2016.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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:

- 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
- Feedback from CROS 2015 showed that researchers are encouraged to engage in personal and career development.
- The introduction of Individual Research Reports has facilitated better planning for the REF. The process has been discussed with Simitive, our appraisal system provider, to make further improvements to the process for 2017 and beyond.

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|-------------|---|
| Review internal development and internal funding opportunities to ensure there are no prohibitive clauses to disadvantage fixed term post holders. | HRS/RIDO | Summer 2018 | Review completed and no prohibitive clauses identified. |

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:

- 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 online <http://web.anglia.ac.uk/hr/policies/#F>
- We are compliant with 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.

Gap Analysis and Action Plan (2017-2019) to support the implementation of 'The Concordat to support the Career Development of Researchers'

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:

- 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. HRS currently support two colleagues per annum to participate in the Aurora programme and are investigating ways in which to extend the reach of Aurora to more colleagues annually.
- We provide access to online courses on research leadership (Epigeum).
- The new Researcher Development Coordinator post has been created to facilitate training and support opportunities for researchers.
- RDF training is available.
- The Researcher Development Working Group reviews and supports a range of developments for researchers.

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. 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:

- 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.
- All vacancies are advertised internally.
- RIDO offers a range of support and training, see http://web.anglia.ac.uk/anet/RIDO/uk_funding/index.phtml and http://web.anglia.ac.uk/anet/rido/uk_funding/observatory.phtml including finding funding opportunities, see http://web.anglia.ac.uk/anet/rido/uk_funding/Winning%20Research%20Funding%202017.PDF

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Transparent procedures for progression within the national 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.
- The grading review procedure was revised in 2016 and is now manager-led.

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

Evidence for current compliance

- Staff development events are open to all staff and are promoted via the My.Anglia and HR Online web pages and in *Bulletin*.
- Internal funding currently provides opportunities for researcher career development. Our People Strategy refers <http://web.anglia.ac.uk/hr/policies/#P>
- Information for students and staff on the Researcher Development Framework is available on the RIDO Doctoral School website: <http://web.anglia.ac.uk/anet/rido/docschl/info/rdf.phtml>
- Our ECR Charter sets out our approach to ECR career development <http://web.anglia.ac.uk/hr/policies/#E>
- All vacancies are advertised internally.

| Action | Responsibility | Timescale | Measure of Success |
|---|----------------|-------------|--|
| Develop a Researcher Development 'hub' page on our website to draw together all researcher training opportunities from Faculties, HRS, RIDO, Epigeum and Vitae. | HRS/RIDO | Summer 2018 | 'Hub' page available including monitoring tool to allow the development of a realistic baseline to inform future success measures. |

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Research staff have access to a wide range of internal and external training and development opportunities (see <http://web.anglia.ac.uk/hr/training/> and <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.
- 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.
- We have a research staff mailbase to inform researchers of development and other opportunities.

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

- 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 booklet 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.
- We have recruited researchers from industry and our researchers have also moved into industry.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- 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 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/#M>

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|-------------|--|
| We will develop a range of transferable skills training opportunities. | RIDO | Summer 2018 | Three new transferable skills training opportunities available |

Clause 3.4

All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.

Evidence for current compliance

- 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.
- Our colleagues are encouraged and supported to work with external organisations and this broadens our awareness of other fields and sectors.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Appraisal is aligned to our Corporate Plan, the Research Innovation and Knowledge Exchange (RIKE) Strategy and other strategic plans. It varies by discipline and manager.
- Researcher plans form an integral part of the process for academic staff and the RDF is available as an optional tool. 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.

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 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

- 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 meet with Directors of Research/Deputy Deans responsible for research to discuss the research environment and support for researchers.
- The Research funding Observatory offers a Travel and Bursary Scheme which supports travel and networking development opportunities.
- In our People Strategy 2016/17 we commit to 'Provide an environment which enables and requires new and current academic staff to achieve their doctorates within a reasonable timescale'.
- We also state our commitment to 'Support Early Career Researchers (ECRs) to become established in their fields through the development of a post-Doctoral Staff Charter' and our ECR charter was developed in 2016.

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|---------------|--|
| Update the induction checklist to include research information, e.g. submission to ARRO and the open access requirements for REF 2021, and the expectations of researchers document. | HRS | December 2017 | Induction check list includes pointer to research information. |

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- 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.
- The range of opportunities increases as researchers develop their skills.
- RDF is available to our research staff.

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|-------------|--|
| We will articulate our researcher training offering through the lens of the RDF. | RIDO/HRS | Summer 2018 | The 'hub' includes an articulation of training programmes through the lens of the RDF. |

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.

Evidence for current compliance

- All academic staff have a mentor as part of our probation process who provides support and guidance for the personal and professional development of researchers.
- 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 has been fully online making ongoing monitoring of progress with objectives easier.
- We have an annual grading review procedure, which is open to all staff, see <http://web.anglia.ac.uk/hr/policies/#G>

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Our appraisal scheme encourages all staff to participate in CPD activities.
- A range of development activities are available to our staff and are 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.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Our appraisal system has a clear focus on performance and development and incorporates individual Research Plans. It encourages an honest and transparent conversation.
- 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 has been established and reports to Research Committee.
- 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.

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

- 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.
- The PG Cert is available and requirement is reviewed through academic probation.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

Evidence for current compliance

- 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.

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

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

Clause 4.5 (14)

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

Evidence for current compliance

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

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

| | | | |
|---|-----------------------|------------------|---|
| 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 | | | |
| <ul style="list-style-type: none"> • Our work shadowing scheme is available to all staff. • Our Sabbatical Scheme guidance encourages applications from ECRs. • Annual research conferences run centrally and by faculties. • Our appraisal scheme is complemented by our <i>Personal Qualities at Work</i> document http://web.anglia.ac.uk/hr/policies/#P | | | |
| 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 | | | |
| <ul style="list-style-type: none"> • Grant applications for 3rd stream income generation are increasing. • 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 Innovation and Knowledge Exchange (IKE) Subcommittee meets on three times per annum. • IP guidelines and training are available to researchers. | | | |
| Action | Responsibility | Timescale | Measure of Success |
| We will review and revise our Commercialisation Policy. | RIDO | Summer 2017 | New Commercialisation Policy developed. |
| Training will be provided around knowledge transfer and commercialisation. | RIDO | Summer 2018 | Training programme operational. |

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Our Good Practice Research Guide is designed to ensure that all our research activity is conducted in an appropriate and responsible manner. http://web.anglia.ac.uk/anet/rido/uk_funding/Good%20Research%20Practice%20v3.pdf
- The Research Integrity Working Group has been reformed and is responsible for ensuring that the Gap Analysis and Action Plan relating to the Concordat to Support Research Integrity is updated as required and propose relevant actions to Research Committee.
- 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://web.anglia.ac.uk/anet/rido/docschl/training.phtml>)
- Researchers are required to upload their publications in our institutional repository for research, ARRO ('Anglia Ruskin Research Online') <http://libweb.anglia.ac.uk/ARRO.htm>

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|----------------------|--|
| Continue to monitor research integrity through the annual research activity report to the Board of Governors | RIDO | Annually in December | Annual reports prepared and presented to the Board of Governors |
| Provide research integrity training for all new research-active academic staff | RIDO | December 2017 | Participation of new research-active academic staff in research integrity training programme |

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

- 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.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- From CROS 2015 it is evident that most respondents have a career development plan in place. This begins during probation and is developed and monitored through the appraisal cycle where development opportunities are discussed.
- 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>

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

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

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Anglia Ruskin University is compliant with the legislative framework.
- We comply with the Equality Act and have published equality objectives until 2020 as part of an action plan.
- We have been approved as a Disability Confident Employer (second level – the first being 'Committed'). This reinforces our commitment to the recruitment and retention of disabled people and our aspiration is to ultimately become a Disability Confident Leader. We have an action plan in place to achieve this.
- We have updated our Disability in the Workplace Guidance (submitted to the Equality, Diversity & Inclusion Group in February 2017).
- We are members of Mindful Employer, Inclusive Employers and were the first university to join Stonewall's Diversity Champions programme.
- Our annual ED&I report is now embedded across ARU with our commitment to 'Be inclusive'.
- In 2015 we resurrected our Women's Network that now focusses on mentoring, research and career development.
- We hold annual Women's Network conferences which are attended by approximately 100 staff from across ARU. At Women's Network sessions we invite our staff to come and talk to members about their research.
- In the last 18 months, we have supported the introduction of a BME network, LGBT network and Part-time and Flexible Working Forum. The latter is co-led by a researcher and the aims of the forum link to her research. The Disabled Staff Network was established in April 2017.
- We have joined Working Families and adopted their 'happy to talk flexible working' logo for our recruitment adverts.
- We are the first HEI to have signed up to the Timewise 'Hire me my Way' campaign to further commit our support to flexible working.

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

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

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- We vigorously complied with the REF arrangements to consider special circumstances.
- We have Dignity at Work & Study Code of Conduct and Grievance Procedures in place which all staff can access if necessary.
- We introduced a Returners Fund in September 2016 aimed primarily at supporting staff who have been absent on family-related leave. This could include attending a research conference, training event or engaging a Research Assistant.

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

Evidence for current compliance

- We have a fully embedded Flexible Working Policy.
- 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. For example, in 2015 79% of all Anglia staff stated that their immediate manager helped them find a good work-life balance. This exceeded the Capita HEI benchmark of 72%.

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|-------------|--|
| Review Staff Survey results relating to work-life balance and take action if required. | HRS | Summer 2018 | Our 2017 Staff Survey will show an increase in teaching and research staff stating they have a good work-life balance, from a baseline of 51% in 2015. |

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

- Flexible working applications from all staff are considered fairly and based on the merits of each case.
- We established the Part-time and Flexible Working Forum in March 2016 through our Women's Network.
- In December 2016, CMT approved the adoption of the 'happy to talk flexible working' strapline and signed up to the 'hire me my way' campaign.

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|---------------------|--|
| Develop a baseline by measuring the number of flexible working appointments made as a result of us adopting the 'happy to talk' flexible working logo and continue to monitor. | HRS | Annually in January | Baseline developed and used to inform monitoring of flexible working appointments. |

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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.

Anglia Ruskin University is not a funder offering grants, so this clause does not apply. As an employer of researchers, we are compliant with current equality and diversity legislation.

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

- 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 ED&I Group, CMT and at Board level.
- Recruitment panels are constructed to achieve equality and diversity balance at the recruitment stage.

| Action | Responsibility | Timescale | Measure of Success |
|--|----------------|---------------------|-------------------------|
| Monitor progress against our ED&I objectives (2016-2020) | HRS | Annually in January | ED&I objectives are met |

Clause 6.8

Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups

Evidence for current compliance

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

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

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

- Our Dignity at Work & Study Code of Conduct and Grievance Procedure are available on HR Online. These are reviewed on a regular basis.
- In our 2015 staff survey, 5% of respondents reported being bullied or harassed at work. This was equal to the Capita HEI benchmark at the time. Individual faculties and services took action in relation to their own results.

| Action | Responsibility | Timescale | Measure of Success |
|---|--|----------------|---|
| Review the 2017 staff survey results relating to discrimination, bullying and harassment and take appropriate action. | HRS, Deans of Faculty, Directors of Professional Services | Summer 2017 | Where required, areas will develop Action Plans |

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

- We were awarded an institutional Athena SWAN Bronze Award in April 2015.
- We have surveyed, through our Athena SWAN work, academic staff who were absent on maternity leave and asked how we could better support them back to work/research. The results are being used to review our policies e.g. keeping in touch days.
- We introduced a Returners Fund in September 2016 aimed primarily at supporting staff who have been absent on family-related leave. This could include attending a research conference, training event or engaging a Research Assistant.

**Gap Analysis and Action Plan (2017-2019) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

GLOSSARY - to be updated according to new GA/AP

| | |
|----------------|---|
| ALT | Anglia Learning and Teaching |
| ARRO | Anglia Ruskin Research Online |
| ATHENA SWAN | see http://www.athenaswan.org.uk |
| CMT | Corporate Management Team |
| CPD | Continuing Professional Development |
| CROS | Careers in Research Online Survey |
| ECR | Early Career Researcher |
| ED&I | Equality, Diversity and Inclusion |
| HEI | Higher Education Institution |
| HRS | Human Resource Services |
| PDP | Personal Development Plan |
| PG Cert for HE | Post Graduate Certificate for Higher Education |
| RDF | Researcher Development Framework |
| REF | Research Excellence Framework |
| RIDO | Research, Innovation and Development Office |
| RIKE | Research, Innovation and Knowledge Exchange |