

Gap Analysis and Action Plan 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	Evidence for current compliance	Actions	Update	Responsibility	Timescale
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.	<p>Anglia Ruskin University's Corporate Plan 2012-14 contains objectives focusing on research (http://web.anglia.ac.uk/anet/academic/spp/corporateplan.phtml). The milestones to be achieved on an annual basis, together with the Research and Scholarship Strategy 2012-14 http://web.anglia.ac.uk/anet/rdcs/, make clear the research focus.</p> <p>Reports made to Board of Governors, Vice Chancellor, CMT. The Research Concordat is a standing item on the agenda for the Research Committee, for example, January, May, October 2011, January, May and October 2012 and January 2013.</p> <p>Information supporting the Concordat continues to be disseminated via direct contact with Principal Investigators and Research Managers including <i>Bulletin</i> articles, the Research Student Conference (http://web.anglia.ac.uk/anet/rdcs/research/conference/student.phtml), the Vice-Chancellor's Away Days for senior managers and leaders. A copy of the Concordat and an explanatory letter has been circulated to all Principal Investigators, Research Managers, research staff and HR staff.</p>	<p>Monitor Corporate Plan targets regularly.</p> <p>Maintain understanding of the Concordat for all staff including promotion on our website http://web.anglia.ac.uk/anet/rdcs/research/concordat.phtml</p> <p>Promote the Research Concordat at conferences/events for researchers and academic staff.</p>		<p>University wide</p> <p>Research Development and Commercial Services (RDCS) and HR Services (HRS)</p>	<p>Our Corporate Plan and Research and Scholarship Strategy are monitored on an annual basis.</p> <p>Annual research and research supervisors' conferences. Also induction events for new staff - eight annually.</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Actions		Responsibility	Timescale
1.2	Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.	<p>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.</p> <p>Links to our equality policies are included in our Jobs webpage, and we undertake comprehensive equality monitoring at the application stage. (https://www24.igrasp.com/fe/tpl_AngliaRuskin01.asp)</p> <p>For all posts, the qualifications, skills and experience required are identified as part of the person specification. We have up-to-date job descriptions and person specifications, to ensure consistency across the institution.</p> <p>HR Recruitment Team review each job description and person specification. CMT staffing group consider each vacancy as they arise and approve to recruit.</p> <p>HRS collect and publish data on the diversity of applicants, interview panels and appointees on an annual basis.</p>	<p>All managers are required to undertake training in recruitment & selection, and, Equality & Diversity. Ensure that all staff are retrained every three years.</p> <p>We will continue to check that each Recruitment Panel Chair has undertaken the required training prior to recruiting. Ensure currency through regular monitoring.</p>		<p>HRS</p> <p>HRS</p>	<p>On-going</p> <p>On-going</p>
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	<p>Fixed term posts are only advertised as such when there is a justifiable reason, such as a link to funding, in line with our Fixed Term Employment Policy and Procedure.</p> <p>HR Managers discuss whether fixed term contracts continue to be appropriate as part of their regular meetings with Deans/Directors.</p>	<p>We will only advertise fixed term contracts where justified, as set out in our Fixed Term Employment Policy and Procedure, following approval of the vacancy by CMT.</p> <p>Continue to review the need for fixed term contracts at meetings between Deans and HRMs and take action as appropriate.</p>		<p>HRS</p> <p>HRS</p>	<p>As required</p> <p>Monthly</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Actions	Update	Responsibility	Timescale
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	<p>Our Recruitment and Selection Policy was reviewed in summer 2012. For guidance on the composition of recruitment panels, see our Constitution of Appointment Panels document at http://web.anglia.ac.uk/hr/policies/</p> <p>Feedback is provided to unsuccessful applicants who are shortlisted on request.</p> <p>Mandatory training for chairs of selection panels is formally embedded. Online development ensures that all members of selection panels undertake appropriate development.</p> <p>All new staff attend a compulsory Induction Conference, which includes general Equality & Diversity training. All managers at Grades 4 and above are required to complete our online diversity module.</p> <p>Our People Strategy 2012-14 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.</p>	<p>Review and update policy on three-yearly cycle or sooner if required.</p> <p>Methods of feedback reviewed as appropriate.</p> <p>Feedback forms from the Induction Conference are routinely collated and analysed. Appropriate action then taken to improve the experience at the next event.</p>		<p>HRS</p> <p>HRS</p> <p>HRS</p>	<p>Next policy review July 2015</p> <p>Post interview</p> <p>After each Induction Conference (8 per year)</p>
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.	Pay and grading structure in place as a result of the implementation of our Collective Agreement for Modernisation of Pay Structures (2006).	Pay and grading structure kept under review to ensure consistency within the institution and across the HE sector.		HRS	1 August annually

Gap Analysis and Action Plan 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	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.	<p>Feedback from PIRLS 2011 indicated that PIs find appraisal helpful and value its usefulness in identifying strengths and weaknesses as well as setting clear expectations and objectives. Building on the previous system, we have revised our appraisal scheme for all staff.</p> <p>We offer a wide range of training that is open to all research staff. The training is not dependent on the research staff holding a permanent or fulltime contract. For example, 'Funding Opportunities for Early Career Researchers' which is open to ECRs as long as their contract is over 0.2FTE.</p> <p>Specific funding opportunities for the development of research staff are available. http://web.anglia.ac.uk/anet/rdcs/uk_funding/early_career.phtml</p> <p>Feedback from CROS 2011 showed that researchers are encouraged to engage in personal and career development, with most respondents having a career development plan, which is now part of the appraisal process.</p>	<p>Evaluate the effectiveness of the revised appraisal scheme through the Appraisal Working Group and make changes as appropriate for the next year.</p> <p>The training provision for all staff will continue to be reviewed annually and a Training Plan prepared. Additional training needs will be identified and addressed throughout the year and appropriate solutions implemented.</p> <p>Review development opportunities for research staff.</p> <p>Participate in CROS 2013 and make the report available to the Research Committee.</p>		<p>HRS</p> <p>HRS / RDCS</p> <p>RDCS / HRS</p> <p>RDCS</p>	<p>Annually - by 1 May</p> <p>Training Plan published in September each year.</p> <p>Reviewed annually</p> <p>Autumn 2013</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	Staff on fixed term contracts are offered the same support as those on permanent contracts in relation to induction, probation and appraisal. Fixed Term Employment Procedures document is available on HR Online – http://web.anglia.ac.uk/hr/policies	We will continue to review the need for fixed term contracts at monthly meetings between Deans and HRMs and take action as appropriate.		HRS	Regular monthly monitoring

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>Mandatory Corporate Induction supported by local induction for all staff. All staff undertake a probationary period, the length of which depends on their grade. Our staff are supported by a mentor throughout their probationary period. As part of probation and appraisal, staff development needs are identified and progress monitored through probation and appraisal.</p> <p>HRS runs a range of Management Development and Performance Management training courses some of which are mandatory.</p> <p>New development opportunities are being provided such as bursaries to enable attendance at external events.</p> <p>A Research Supervisors' Conference with a focus on Research Leadership took place in December 2012.</p>	<p>Local induction guidance currently under review. The format of the Induction Conference is currently under review and is to be re-launched.</p> <p>Ensure that research managers respond to their responsibilities as members of the Research Committee.</p> <p>Participate in the development of online courses on research leadership (Epigeum), for delivery in 2014.</p> <p>Review the effectiveness of training and development for research managers and take any necessary action arising from PIRLS 2013 to respond to identified need.</p> <p>The Researcher Development Working Group reviews and supports a range of developments for researchers.</p>		<p>HRS / Deans</p> <p>HRS / RDCS / Deans</p> <p>RDCS</p> <p>HRS</p> <p>RDCS / HRS</p>	<p>Autumn 2013</p> <p>Research Committee meets three times per year.</p> <p>Spring 2014</p> <p>Evaluation December 2013. Training and development to be provided during 2013-14.</p> <p>Annually</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>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.</p> <p>RDCS offers a range of support and training, see http://web.anglia.ac.uk/anet/rdcs/uk_funding/index.phtml, including finding funding opportunities, see http://web.anglia.ac.uk/anet/rdcs/uk_funding/Winning%20Research%20Funding.pdf</p>	<p>As stated in 2.2 above, HR Managers to monitor the continuing employment for those on fixed-term contracts in their regular meetings with Deans.</p> <p>Monitor the effectiveness of the support and training provision.</p>		<p>Deans and Directors of Research Institutes</p> <p>RDCS</p>	<p>Regular monthly monitoring</p> <p>Annually</p>
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.	Transparent procedures for progression within the pay framework have been agreed with the relevant trade unions and are in place. Job descriptions for researchers have been revised. Clear criteria and timescale for regrading have been agreed.	Separate briefing sessions on progression opportunities and the pay framework for researchers are being considered.		HRS	September 2013

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>Staff development events are open to all staff, including research staff, and are promoted via HR Online and in <i>Bulletin</i>. Bursaries currently provide opportunities for researcher career development. Our People Strategy 2012-14 refers http://web.anglia.ac.uk/hr/policies/</p> <p>Research staff were invited to a Professors and Readers group meeting in June 2012 where the focus of the discussion was 'the value of the team'. We have an annual grading review procedure which is open to all staff. We offer grading briefing sessions. Researcher-specific sessions are being offered for 2013.</p> <p>Information for students and staff on the Research Development Framework is available on the RDCS Research Support website. Information for students available at http://web.anglia.ac.uk/anet/rdcs/research/support.phtml</p> <p>PIRLS 2011 highlighted the need:</p> <ul style="list-style-type: none"> to deliver enhanced research management and leadership development for research staff for more development opportunities in project management and writing for publication. 	<p>Continue to reflect on the development needs of research staff and provide appropriate solutions for implementation during the academic year.</p> <p>Continue to run RDF briefing sessions open to research students and staff.</p> <p>Monitor and review the effectiveness of development opportunities through CROS and PIRLS in 2013.</p> <p>Include the Epigeum online courses on 'Professional Skills for Research Leaders' (due to be released by December 2013) in training.</p>		<p>RDCS / HRS</p> <p>RDCS</p> <p>RDCS / HRS</p> <p>RDCS</p>	<p>On-going</p> <p>At least three times a year</p> <p>Evaluation December 2013</p> <p>March 2014</p>

Gap Analysis and Action Plan 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	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>We have established a Researcher Development Working Group and will feed back regularly to the Research Committee.</p> <p>All staff may apply for a sabbatical to undertake research and have the opportunity to be seconded to a Research Institute.</p> <p>Research staff have access to a wide range of training, organised by HRS and RDCS (see http://web(anglia.ac.uk/hr/training/ and http://www(anglia.ac.uk/researchtraining) Training is evaluated by participants and action taken as appropriate. Research staff may equally access the fee waiver scheme, including locally funded doctorates.</p> <p>We have a research staff mailbase that we use to inform researchers of development and other opportunities.</p>	<p>Continue the work of the Researcher Development Working Group with executive support provided by RDCS.</p> <p>Annual university-wide sabbatical scheme announced in December.</p> <p>Effective communication with research managers to ensure that all researchers are aware of opportunities and encouraged to undertake career development. This includes communication through the research supervisors' mailbase.</p>		<p>RDCS</p> <p>HRS</p> <p>HRS / RDCS</p> <p>HRS / RDCS</p>	<p>On-going</p> <p>Annual cycle</p> <p>Quarterly review of website.</p> <p>On-going</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>Career development is discussed and supported through for example, induction, probation, appraisal and regular feedback. Researchers are encouraged to network widely. Cross-faculty initiatives are actively encouraged.</p> <p>Our Pay Framework reflects career paths. 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/</p>	Ensure feedback is provided through appropriate evaluation and monitoring of respective schemes/opportunities.		HRS	On-going Annual report on appraisal each year in October.
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.	<p>As stated in 3.1, RDCS and HRS offer a wide range of development opportunities. Faculties also support the development of researchers. (http://www(anglia.ac.uk/researchtraining and http://web(anglia.ac.uk/hr/training/)</p> <p>HRS also offers Personal Development: Career & CV reviews.</p> <p>All staff are treated equally through the appraisal system, which provides a formal opportunity to discuss individual skill and competency development. RDCS and HRS offer a wide range of development and funding opportunities. Appraisal 2012 has at its core a sharper focus on career development and performance management.</p>	<p>Feedback from CROS and PIRLS surveys and from training events, appraisals and the staff opinion survey is reflected upon to determine the provision of further development opportunities.</p> <p>Ensure that all researchers are aware of where training and development opportunities are promoted and how to access them.</p>		<p>HRS / RDCS</p> <p>HRS / RDCS / Faculties</p>	<p>Following analysis of the biennial surveys.</p> <p>On-going</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>Appraisal 2012 is aligned to our Research & Scholarship Strategy. Appraisal discussions include development and career plans. There is an annual opportunity to apply for re-grading.</p> <p>We have implemented the Researcher Development Framework (RDF) for research students.</p> <p>External opportunities are also available, for example, working in collaboration with other HEIs to provide further sessions on career management, aimed particularly at ECRs.</p>	<p>Appraisal 2012 to be evaluated and improvements arising from the Appraisal Working Group will then be implemented for Appraisal 2013.</p> <p>In supporting research staff to make informed choices about career development and reflect on their skills, we will utilise, as appropriate, the RDF.</p> <p>Research Managers and PIs to continue to encourage their research staff to undertake career development.</p>		<p>HRS</p> <p>HRS / RDCS</p> <p>DoRs / RDCS / HRS</p>	<p>May 2013</p> <p>December 2014</p> <p>On-going</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>We have a mandatory Corporate Induction Conference for all staff. This is supported by local induction. In CROS 2011, 75% of respondents found their local induction useful or very useful. From our PIRLS 2011 survey, 78% of our PIs regard the induction, probation and appraisal of research staff as important in helping them become effective research leaders.</p> <p>Appraisal 2012 included a discussion on development in relation to continuous professional development.</p> <p>RDCS works closely with each Faculty Director of Research in providing up-to-date information and development opportunities. Twice yearly meetings are held regarding research support between the Research Support Team, Academic Office, Faculty Directors of Research and Directors of Research Students. Internal funding opportunities are available for Early Career Researchers: http://web(anglia.ac.uk)/anet/rdcs/uk_funding/early_career.phtml</p> <p>In CROS 2011 all respondents agreed or strongly agreed that they had access to training and development opportunities.</p>	<p>Faculty DoRs to continue to actively review local induction.</p> <p>HRS to review supporting local and corporate induction processes to increase staff satisfaction.</p> <p>Evaluate Appraisal 2012 and implement improvements for Appraisal 2013.</p> <p>Continuous liaison with Directors of Research on a regular basis. Executive support for the meetings provided centrally.</p> <p>Monitor and act upon responses from CROS 2013.</p>		<p>Faculty Directors of Research</p> <p>HRS</p> <p>HRS</p> <p>RDCS / Faculty Directors of Research</p> <p>RDCS</p>	<p>On-going</p> <p>September 2013</p> <p>1 May 2013</p> <p>On-going</p> <p>Autumn 2013</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
3.6 cont		Currently, there are two internal funding opportunities for early career researchers. The first, run by RDCS is the '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. The second opportunity is run by HRS. 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.	RDCS and HRS continue to work closely, through joint involvement in the Researcher Development Working Group and the Research Committee to provide appropriate training and development opportunities.		HRS / RDCS	Research Committee meets three times a year.
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.	<p>The Job Families Booklet clearly articulates the skills and experience required at each level, see http://web.anglia.ac.uk/hr/staffarea/</p> <p>We provide HEaTED membership for technical staff which may be of benefit to some of our research staff.</p> <p>We ensure that research staff (e.g. through the research staff and supervisors mailbases) are aware of training opportunities. Details of RDCS training opportunities are available on the RDCS website: http://www.anglia.ac.uk/researchtraining</p>	Investigate whether HEaTED membership would benefit research staff.		HRS	December 2013

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
3.7 cont		<p>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.</p> <p>Details of all training and development opportunities offered through HRS are available to researchers. Communication has been enhanced through the establishment of supervisor briefings to disseminate information regarding RDCS training opportunities for research students and staff.</p> <p>In addition to training provided by HRS, we are planning skills development for research leadership and are members of the Epigeum Development Group for online courses on Professional Skills for Research Leaders.</p>	<p>Assess training needs, noting any gaps from surveys, for example CROS and PIRLS 2013.</p> <p>Ensure that links to both internal and external training opportunities are widely promoted.</p> <p>Deliver professional development courses in research leadership.</p>		<p>HRS / RDCS</p> <p>RDCS / HRS</p> <p>RDCS</p>	<p>Annually, in July.</p> <p>Annual training cycle</p> <p>March 2014</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>We have a range of mentoring schemes open to all staff that are mandatory for all new grade 5 + staff during their probation.</p> <p>Appraisal 2012 provided a sharper focus on career development. Staff receive probation support and relevant training needs are identified on arrival. The annual appraisal system provides constant review and support as well as identifying suitable training opportunities.</p> <p>Feedback from CROS 2011 identified that researchers are encouraged to engage in personal and career development, with most respondents having a career development plan.</p> <p>We have an annual grading review procedure, which is open to all staff, see http://web.anglia.ac.uk/hr/policies/</p>	<p>Promote directly through probationary schemes.</p> <p>Check that all researchers have a career development plan as an outcome of probation and/or annual appraisal.</p> <p>Continue to ensure that PIs are aware of their responsibilities under the Concordat (by communication, briefing sessions etc).</p> <p>Undertake CROS 2013 to monitor for continuous improvement.</p> <p>Continue annual grading review.</p>		<p>RDCS / HRS</p> <p>Faculty Directors of Research</p> <p>RDCS</p> <p>RDCS</p> <p>HRS</p>	<p>On-going</p> <p>September 2013</p> <p>On-going</p> <p>Spring – Summer 2013</p> <p>Annually</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>As stated in 3.3, with the introduction of a new appraisal scheme in the academic year 2011-12, all appraisers and appraisees have undergone further training that has a sharper focus on career development.</p> <p>CPD targets (5 days per year) are now embedded within our appraisal scheme.</p> <p>Development is encouraged and monitored as part of the induction, probation and appraisal processes. HRS act on any issues identified.</p> <p>Training, provided by RDCS/HRS and within faculties, is available to research staff. Development opportunities are open to all research staff and are promoted either directly or via HR Online and in <i>Bulletin</i>.</p> <p>HRS offer Personal Development: Career and CV review opportunities. A mentoring scheme and work shadowing opportunities are also available.</p>	<p>As stated in 2.3, ensure that PIs recognise their responsibilities outlined in the Concordat.</p> <p>ALT to review annually.</p> <p>We have implemented the RDF, initially for research students. This will be extended to research staff.</p> <p>Briefing sessions and support will be provided for PIs/managers to increase their understanding of career development for research staff and opportunities available for these staff.</p> <p>We will continue to provide information, either directly and/or through HR Online. See http://web.anglia.ac.uk/hr/training/ and http://www.anglia.ac.uk/researchtraining</p>		<p>RDCS</p> <p>ALT</p> <p>RDCS</p> <p>HRS</p> <p>HRS / RDCS</p>	<p>On-going</p> <p>October 2013</p> <p>December 2014</p> <p>From 2012-13</p> <p>Updated annually</p>

Gap Analysis and Action Plan 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	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>Our appraisal system has a clear focus on performance and development. It ensures that honest and transparent advice is given.</p> <p>We have a mentoring scheme available which is open to all staff. We offer mentor partnerships for all staff at Grade 5 and above as part of our probationary procedures.</p> <p>Researchers are encouraged to attend internal and external career development events. 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. As stated in 3.6 above, internal funding Opportunities are available for Early Career Researchers: http://web.anglia.ac.uk/anet/rdcs/uk_funding/early_career.phtml</p> <p>The Researcher Development Working Group is already established.</p> <p>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.</p>	<p>Appraisal 2012 to be evaluated and improvements implemented within Appraisal 2013.</p> <p>Ensure that PIs recognise their responsibilities outlined in the Concordat through, for example, workshops, and information via supervisors' mailbox.</p> <p>Introduce research management training for all research managers. Review the effectiveness of the training and take any necessary action.</p>		<p>HRS</p> <p>HRS / RDSC</p> <p>HRS</p>	<p>May 2013</p> <p>On-going</p> <p>December 2013</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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	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.	Provide, where requested and possible, development opportunities for research staff to prepare them for academic practice.		Academic Heads of Departments / Directors of Research Institutes	On-going
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	Researchers have access to the PG Cert for HE programme and 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.	Promote the provision of teaching and demonstrating opportunities and associated staff development to staff who are no longer in their probationary period. http://www.lta(anglia.ac.uk/		Heads of Academic Departments / Directors of Research Institutes	On-going

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	We have researcher representatives on various committees/working groups e.g. Research Committee, Learning and Teaching Committee and the Researcher Development Working Group.	Explore how researchers can further participate in committees and decision making processes.		RD ^{CS} / Academic Office	On-going
4.5 (14)	Mentoring arrangements should be supported by employers a key mechanism for career development and enhancement.	We have a range of mentoring opportunities available, particularly during probation.	Develop a mentoring scheme for early career researchers.		RD ^{CS} / HR ^S	July 2014

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	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers	<p>Co-authored or authored published outputs of our researchers.</p> <p>Sabbatical Scheme open to all staff.</p> <p>Annual conferences for research students, supervisors and staff. http://www.anglia.ac.uk/researchconference</p> <p>The RDF has been introduced for research students.</p> <p>Our appraisal scheme is complemented by our <i>Personal Qualities at Work</i> document http://web.anglia.ac.uk/hr/policies/</p>	<p>Provide further development opportunities specifically for researchers, for example possible secondment into Research Institutes.</p> <p>Maintain the momentum established by these annual conferences.</p> <p>Extend use of the RDF to research staff.</p> <p>Appraisers to use this document and provide feedback on the PQs in appraisal.</p>		<p>HRS</p> <p>RDCS</p> <p>RDCS</p> <p>HRS</p>	<p>Each academic year</p> <p>On-going</p> <p>December 2014</p> <p>May 2013</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>Grant applications for 3rd stream income generation are increasing.</p> <p>Industrial sabbaticals available via sabbatical scheme open to all staff. http://web(anglia.ac.uk/hr/policies/</p> <p>Guidelines for the commercial exploitation of Intellectual Property have been compiled and the Intellectual Property Subcommittee has been established.</p> <p>The Epigeum online research skills training modules provide support in developing transferable skills http://web(anglia.ac.uk/anet/rdcs/research/training/Epigeum.phtml</p>	<p>Ensure representation on relevant committees for involvement in policy-making and applying for grants.</p> <p>Continue sabbatical scheme that includes industrial sabbaticals.</p> <p>Meetings of the Intellectual Property Subcommittee to ensure our intellectual property guidelines are up to date and communicated to researchers.</p> <p>Monitor faculties for areas of good practice which are then shared and transferred with assistance of DoRs.</p>		<p>RDCS</p> <p>HRS</p> <p>RDCS</p> <p>RDCS /Directors of Research</p>	<p>On-going</p> <p>Annually</p> <p>Three meetings per year</p> <p>Twice yearly meetings of DoRs and DoRSs.</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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	<p>We have a Procedure for the Investigation of Allegations of Misconduct in Research. This states that all Deans and Heads of Department must ensure that any early career researchers are monitored & mentored through departments to ensure good practice in research.</p> <p>Information on The Concordat to Support the Career Development of Researchers 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)</p>	<p>The Procedure is monitored on an annual basis and reports are made to the Research Committee and CMT. The Procedure is also being reviewed.</p> <p>We are adopting the Concordat to Support Research Integrity.</p> <p>Researchers are encouraged to upload their publications in our institutional repository for research, Anglia Ruskin Research Online (ARRO).</p> <p>We are implementing our roadmap for the EPSRC Data Policy Framework.</p> <p>Training will be provided for research staff in data management and storage in an open-access repository.</p>		<p>RDCS</p> <p>RDCS</p> <p>University Library / RDCS / faculties</p> <p>RDCS</p> <p>RDCS</p>	<p>On-going</p> <p>July 2013</p> <p>On-going</p> <p>1 May 2015</p> <p>On-going</p>
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.	<p>Appraisal meetings discuss both performance and career development.</p> <p>We have introduced standardised job descriptions and this information is in the Job Families Booklet.</p>	<p>Regular feedback is encouraged rather than a single annual event. This expectation to be reviewed and refreshed through the year with line managers.</p> <p>The Researcher Developer Framework will be introduced for research staff, supported by development as appropriate.</p>		<p>RDCS</p> <p>RDCS</p>	<p>On-going</p> <p>December 2014</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>From the CROS 2011 it is evident that most respondents have a career development plan in place. This is developed in the probation period and is evolved and monitored through the appraisal cycle.</p> <p>During Corporate Induction we highlight the training available and where information can be found about the wide range of development opportunities are available for research staff. Researchers are encouraged to take ownership of their own career development.</p> <p>Our research training page http://www(anglia.ac.uk/researchtraining has been enhanced to provide more information on researcher development. We have a link on our website to the Concordat briefings including the briefing for managers of researchers http://web(anglia.ac.uk/anet/rdcs/research/concordat.phtml</p>	<p>Identify and support those who do not have a career development plan in place.</p> <p>Review our provision of skills development for researchers to further their career.</p>		<p>Heads of Academic Departments/ Directors of Research Institutes</p> <p>RDCS</p>	<p>On-going</p> <p>Annually - in July</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	<p>Discussed on a regular feedback basis and recorded as part of career development within appraisal.</p> <p>RDF briefing sessions are being run on a regular basis for doctoral candidates and all staff.</p>	<p>Development of the RDF - extended to research staff.</p> <p>The CROS will be run again in 2013 and results compared with the 2011 survey.</p>		<p>RDCS/ Faculties</p> <p>RDCS</p>	<p>December 2014</p> <p>Autumn 2013</p>

Gap Analysis and Action Plan 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	Evidence for current compliance	Action Required		Responsibility	Timescale
6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.	<p>We have met our specific duties under the Equality Act 2010, setting equality targets to September 2014.</p> <p>We are double-tick Positive about Disabled People symbol users (JIGS), members of Mindful Employer, and were the first university to join Stonewall's Diversity Champions programme.</p> <p>100% of respondents to CROS 2011 felt that they had been treated in line with equality and diversity principles.</p>	<p>Annual Report published each year in January. http://web.anglia.ac.uk/equalops/</p> <p>Mindful Employer to be reviewed in 2013.</p> <p>Maintain 100% satisfaction. Continue to monitor through PIRLS and CROS 2013.</p>		<p>HRS</p> <p>HRS</p> <p>RDCS</p>	<p>January 2014</p> <p>March 2013</p> <p>Autumn 2013</p>
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.	<p>We carry a full range of equality logos on all recruitment advertising, including our website.</p> <p>We have an online Equality and Diversity programme for all staff as a minimum training requirement.</p> <p>We are members of Athena SWAN.</p>	Achieve Athena SWAN recognition		HRS	December 2015

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	We have policies in support of staff retention. The requirements of the DDA are fully addressed. Our Transcription Service provides documents in alternative formats. Equality Impact Assessments are conducted for new labs, new research programmes.	Continue to monitor through CROS and PIRLS.		RDCS / HRS	Biennial
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	<p>We have a national award-winning Flexible Working policy.</p> <p>Effectiveness and uptake is monitored via feedback and a biennial Staff Opinion Survey.</p>	<p>We will run the CROS and the PIRLS in 2013 and monitor the Equality and Diversity responses. These surveys contain a section on Equality & Diversity.</p> <p>The Staff Survey is to be outsourced to Capita to ensure anonymity, encourage greater response rates and enable us to benchmark against other HEIs.</p> <p>The outcomes will be considered by CMT to make improvements.</p>		<p>RDCS</p> <p>HRS</p> <p>CMT</p>	<p>Biennial</p> <p>April 2013</p> <p>July 2013</p>

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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.	We have a national award-winning Flexible Working policy.	<p>Apply Flexible Working Policy.</p> <p>Monitor effectiveness of the Flexible Working Policy.</p>		<p>HRS</p> <p>HRS</p>	<p>On-going</p> <p>On a three yearly basis - as a minimum</p>
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.	Our enhanced provisions regarding maternity, paternity and adoptive leave apply to all staff, including researchers, subject to length of service requirements / return to work, see http://web(anglia.ac.uk/hr/policies/ .	Review funding mechanisms and policies.		HRS	On a three yearly basis - as a minimum
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.	<p>We have challenging equality targets which include race, disability and gender, with specific targets related to senior managers and professors, see http://web(anglia.ac.uk/equalops/</p> <p>Recruitment panels are constructed to achieve equality and diversity balance at the recruitment stage.</p>	Progress against targets will be reviewed by the Equality and Diversity Group, CMT and Employment Committee.		HRS	January 2014

Gap Analysis and Action Plan to support the implementation of 'The Concordat to Support the Career Development of Researchers'

	Clause	Evidence for current compliance	Action Required	Update	Responsibility	Timescale
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	<p>All Employment Policies have had equality impact assessments carried out on them, prior to publication on HR Online. It is not always possible to assess under all the grounds mentioned in 6.8, for example, we do not monitor all personal circumstances.</p> <p>As stated in 6.4, we have an award-winning Flexible Working policy and procedures, as well as comprehensive guidance. The scheme is open to all staff and line managers assess each request on an individual basis.</p> <p>University Guidance Documents are available at: http://web.anglia.ac.uk/equalops/guidance.phtml</p>	Review and monitor policies.		HRS	On a three yearly basis - as a minimum
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.	<p>Our Dignity at Work and Study Policy and Procedures clearly state the procedures to follow in the event of harassment, bullying or other unacceptable behaviour. This has been in place since 2001.</p> <p>We have Grievance and Disciplinary Procedures in place.</p>	Continue to monitor through CROS and PIRLS.		HRS / RDSCS	Biennial
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.	We are members of Athena SWAN.	We have a Working Group to progress achievement of an Athena SWAN award.		HRS / Working Group	December 2015

Gap Analysis and Action Plan to support the implementation of ‘The Concordat to Support the Career Development of Researchers’

GLOSSARY

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
DOR	Director of Research
DORS	Director of Research Students
ECR	Early Career Researcher
EPSRC	Engineering and Physical Sciences Research Council
FST	Faculty of Science and Technology
HEaTED	Higher Education and Technicians Education and Development: a national training and career development framework for the UK HE sector. Their aim is to meet the training and development needs of technical staff as relevant to the changing requirements of the HE sector. HEaTED offers a range of development opportunities including: courses, information newsletters and networking opportunities. To find out more about HEaTED visit www.heated.ac.uk
HEI	Higher Education Institution
HRM	Human Resource Manager
HRS	Human Resource Services
JIGS	Job Interview Guarantee Scheme
PDP	Personal Development Plan
PG Cert for HE	Post Graduate Certificate for Higher Education
PIs	Principal Investigators
PIRLS	Principal Investigators and Research Leaders Survey
PQs	Personal Qualities
RDCS	Research Development and Commercial Services
RDF	Researcher Development Framework
REF	Research Excellence Framework