

Gap Analysis and Action Plan (2017-2021) 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 and progress:

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 and progress:

- Links to our equality policies are included on our Jobs webpage, and we undertake equality monitoring at the application stage. (https://www24.i-grasp.com/fe/tpl_AngliaRuskin01.asp).
- We have been approved as a Disability Confident Employer. (Confident is the second level, the first being 'Committed'). This reinforces our commitment to the recruitment and retention of disabled people. Our aspiration is to become a Disability Confident Leader, and we have an action plan in place to achieve this by 2020.
- We are members of Mindful Employer and provide dedicated training on recruiting and managing disabled staff.
- Our Disability in the Workplace Guidance was approved by our Equality, Diversity & Inclusion Group in February 2017 and Central Management Team (CMT) in April 2017.
- We retained our institutional Athena Swan Bronze Charter Award in November 2018. In line with one of our findings we are currently reviewing our recruitment materials and processes to ensure fair and representative recruitment.
- For all posts, the qualifications, skills and experience required are identified as part of the person specification as set out in our Job Families booklet.
- 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.
- All staff involved in recruitment are encouraged to complete recruitment and selection training. This is mandatory for panel chairs and staff are required to refresh their training every 4 years.
- HR Services monitor data on the diversity of applicants and appointees on an annual basis. We have operational targets to increase the numbers of BME staff across the workforce from 11.6% in 2017 to 14% in 2027 and to increase the number of female professors from 31% in 2017 to 40% in 2027.

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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 and progress:

- We continue to adhere to our Fixed Term Employment Policy and Procedure (2017) [http://web\(anglia.ac.uk/hr/policies/#F](http://web(anglia.ac.uk/hr/policies/#F). Permitted uses of fixed term contracts and where dependent on external research funding is clearly set out in points 3.2 and 3.4 of the policy. Fixed term posts are only advertised as such when there is a justifiable reason, e.g. they are linked to funding which has no reasonable prospect of renewal.
- Successive fixed term contracts are always reviewed by line managers at the point of renewal. The procedure for renewal of fixed term contracts is detailed in section 4 of our Fixed Term Employment Policy and Procedure.

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 and progress:

- Our Recruitment and Selection Policy is under review in 2019. 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.
- Mandatory training for chairs of selection panels is formally embedded.
- On request, feedback is provided to unsuccessful applicants who were shortlisted for interview.
- We survey candidates and recruitment managers quarterly and the results are used to make improvements to our processes.
- The Recruitment Team's Key Performance Indicators are regularly monitored and reviewed in respect of service delivery and customer service.
- All new staff complete mandatory equality and diversity training.

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 and progress:

- Pay and grading structure in place as a result of the implementation of our Collective Agreement for Modernisation of Pay Structures (2006).
- The grading review procedure was revised and amended in February 2016.

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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 and progress:

- We offer a wide range of training and development opportunities for all research staff, regardless of whether they are on a fixed-term or permanent contract. In 2017 all academic and research staff were invited to complete the ARU Researcher Development and Training Survey. This survey provided baseline data about the types of training and development our academic and research staff had accessed and their future training requirements. Of the 179 respondents, 93% had accessed training and development in their current role at ARU. Of those on fixed-term contracts (n=33), 85% had accessed training and development, compared to 94% (137) of staff on permanent contracts. Among the 62 (self-declared) ECRs, 93% had accessed training and development in their current role; 86% of ECRs on fixed term contracts had accessed training and development opportunities while at ARU.
- In October 2018, we launched the Researcher Development Observatory (RDO) in Cambridge and Chelmsford. It is a programme of training and development opportunities open to all staff that addresses the 12 subdomains of Vitae's Researcher Development Framework. All staff with research responsibilities, regardless of contract type are informed of up and coming training and development opportunities with monthly newsletters, regular emails and a dedicated website. To facilitate access to these opportunities we keep a comprehensive contact list of all staff with research responsibilities, which is updated with new starters and leavers every month. This helps us to ensure that staff on shorter fixed term contracts are included in our communications about development opportunities early in their contract term.
- The introduction of Individual Research Reports from 2016 has facilitated better planning for the REF by gathering information directly from researchers. The process was developed with Simitive, our appraisal system provider, and is now a mandatory annual process.

Action	Responsibility	Timescale	Measure of Success	Update 2019
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	COMPLETE - Review completed and no prohibitive clauses identified. All of our staff development and funding opportunities are available to all staff regardless of contract type.

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New Action	Responsibility	Timescale	Measure of Success
Develop a research induction programme for research active staff that informs them about all research opportunities and support available at ARU.	HRS/RIDO	January 2020	Induction developed.
Implementation of research induction programme.	HRS/RIDO	April 2020	Induction programme has been delivered to all existing and all new starters.
Implementation of research induction programme.	HRS/RIDO	April 2021	Induction programme is being delivered roughly every 4 months (1 session offered in each academic trimester). Of new staff on research and teaching contracts or research only contracts, 75% have attended the research induction within the first 6 months of joining ARU.
Review the implementation of the research induction programme.	HRS/RIDO	October 2020	Six month review of research induction programme completed. Proportion of fixed-term contract staff (both full and part time) and those on short-term contracts are analysed to ensure equal opportunities for all research staff regardless of contract type.
Review the implementation of the research induction programme.	HRS/RIDO	April 2021	Staff report clear understanding of the research support available to them at ARU. Attendance data shows 75% attendance on the research induction programme for new staff within the first 6 months of joining ARU. Impact of the induction programme is monitored and increasing numbers of inductees are found to attend further RDO training and development opportunities during the academic year

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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 and progress:

- Staff on fixed term contracts are offered the same support as those on permanent contracts e.g. in relation to induction, probation and appraisal.
- Our Fixed Term Employment Policy and Procedure emphasises 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

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 and progress:

- All new staff complete our online induction, supported by a local induction and welcome event to meet the Vice Chancellor.
- As part of academic probation all staff, including research managers, are supported by a mentor throughout their probationary period. The ARU Researcher Development and Training Survey (2017) found that of those research staff in mentoring programmes (n=85), 53% had been mentees, 23% had been mentors and 23% had experienced both roles.
- Staff development needs are identified and progress is monitored through probation and appraisal.
- Our appraisal scheme was revised in 2015 to give a greater emphasis on research by incorporating Research Plans, and in 2016 with the introduction of Individual Research Reports (IRR).
- The new Researcher Development Manager was appointed in 2017 to facilitate training and support opportunities for researchers.
- We provide a range of leadership and management training and development opportunities. We sponsor staff attendance on the Advance HE Aurora (women) and Diversifying Leadership (race) programmes. We increased the number of Aurora places we offer from two to eight in 2018.
- We provide face to face and online training on research leadership via the new Researcher Development Observatory <https://Anglia.ac.uk/rdo>
- In 2018 we introduced training, 'Disability in the Workplace', for our disabled staff and for their managers, to provide the confidence and tools to support disabled staff to reach their full potential.

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New Action	Responsibility	Timescale	Measure of Success
Revise our approach to mentoring with the development of a new pilot programme strand focus on support for mentoring research leaders.	HRS	April 2020	Mentoring provision is revised. A new pilot programme strand supporting mentorship of at least 10 research leaders is devised and embedded into our career progression support framework.
Support research leaders to act as mentors for other researchers	HRS/RIDO	December 2020	A cohort of at least 10 research leaders are trained in how to act as mentors. At least 10 staff mentoring relationships are in place.
Support research leaders to act as mentors for other researchers	HRS/RIDO	July 2021	Mentee career development progression is monitored and baseline metrics established through quantitative and qualitative metric analysis (e.g. number of journal submissions, promotions, grants funded).
Deliver mentor and mentee training for researchers	HRS/RIDO	September 2020	Training delivered. 100% of staff in mentoring relationships have completed training programmes on mentorship as either mentors or mentees.

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 and progress:

- 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.
- Research Institutes receive funding from the University to enable them to facilitate continuity of employment for researchers between grants, where appropriate.

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- RIDO has launched the Researcher Development Observatory, which offers a range of support and training, including face to face and online courses to help researchers secure funding (see <http://anglia.ac.uk/RDO>, http://web.anglia.ac.uk/anet/RIDO/uk_funding/index.phtml, http://web.anglia.ac.uk/anet/RIDO/uk_funding/Winning%20Research%20Funding.pdf.)

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 and progress:

- 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.
- We are currently undertaking a review to improve our promotion processes and guidance.

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 and progress:

- The Researcher Development Observatory (RDO) was officially launched in October 2018. All staff with research in their contract were informed of the launch and were sent details of the new RDO website. Shortly after launch, Deputy Deans for Research and Directors of Research Institutes were asked to highlight the new RDO to their staff, and all academic staff were emailed an overview guide of the programme together with details of the RDO website, and booking arrangements. Staff were also encouraged to participate as trainers contributing to their development and career positioning themselves as experts.
- Full details of all development opportunities are available on our intranet (<https://Anglia.ac.uk/rdo>). Once there, clicking on a relevant tile takes staff to the opportunities available in each area. Researchers can also download an overview guide or look at the calendar of forthcoming sessions. This academic year the RDO offers 107 researcher development sessions across two University sites.
- We send out RDO Newsletters on a monthly basis to all academic staff (~750 staff). These newsletters highlight the forthcoming sessions, and have links to take staff to the booking page and further details about the session.

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- In addition to newsletters, the Researcher Development Manager regularly sends out invitations and emails to highlight particular sessions. In February 2019, we arranged a desk drop of flyers for the Cambridge and Chelmsford campuses highlighting upcoming sessions in 2019. We send regular RDO updates for inclusion in Faculty newsletters, include details on our internal home page and in the ARU staff newsletter *Bulletin*.
- Information on the Researcher Development Framework is available on the Researcher Development Observatory website (<https://Anglia.ac.uk/rdo>).
- As well as being able to access the training available to all staff via the RDO, staff can apply for faculty held funding to support specific career and research development opportunities, such as attending conferences and specialised training.
- Our ECR Charter sets out our approach to ECR career development <http://web.anglia.ac.uk/hr/policies/#E>. Introduced in 2016, the Charter is currently under review to ensure it remains fit for purpose and is further embedded, and this has included a review of our definition of an ECR at ARU. The review began with an initial consultation on the existing Charter with Faculty Deputy Deans for Research and with researchers from across the University through a series of focus groups. A subgroup of the Researcher Development Working Group (which included an ECR, a Professor, a Deputy Dean for Research and a Research Fellow among its members), reviewed this evidence in the light of HE sector practice and the diverse nature of research at ARU. The Group has drafted a revised Charter with an updated definition of an ECR, and has just completed a consultation with staff on the proposals. This consultation included all staff with research responsibilities who have joined ARU within the past 3 years plus all staff who have completed their doctorate within the past 3 years (300 staff). The new Charter will be launched ready for the 2019/20 academic year.
- All vacancies are advertised internally.
- In 2017/18 we introduced a new Principal Research Fellow role to ensure parity with our Principal Lecturer position and to enable Research focussed staff the same progression opportunities.
- We offer training and support for staff wishing to apply for promotion to Reader or Professor Grades.

Action	Responsibility	Timescale	Measure of Success	Update 2019
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	COMPLETE - Researcher Development Observatory launched October 2018, with hub on RIDO ANET pages https://web.anglia.ac.uk/rdo . Impact of this centralised location of training has resulted in increased workshop attendees and an increased awareness in the research community of training and development opportunities available.

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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 and progress:

- Research staff have access, through the RDO, to a wide range of internal and external training and development opportunities (see <https://web.anglia.ac.uk/rdo>), including career development (4 sessions; Career action planning, Building your academic career, University sabbatical scheme briefing, Preparing for Professor and Readership Applications delivered across two University sites with 3 additional E-Learning opportunities) training in commercialising research and developing knowledge exchange (12 sessions; Commercialise your research, Create impact through consultancy, Grow your research outputs and income with KTP, Finding collaborators and Preparing a KTP proposal step-by-step guide, Intellectual Property for researchers (6 workshops) and Finding partners and collaborators: meet your Partnership Development Manager delivered across two University sites) All training offered via the RDO is mapped to the OECD list of transferable skills for researchers, making it easy for researchers to see which skills that they are developing are most likely to be useful in employment sectors other than academia.
- The RDWG (reporting to the Research and Innovation Committee) oversees the planning for career development for researchers. Training is evaluated by participants and the feedback we receive is used to inform planning of future sessions. An interim review of the RDO presented to the RDWG in March 2019 found that 92% of respondents to the post-training session surveys agreed or strongly agreed that attending the RDO session had contributed to their development as a researcher and 89% felt that attending the session had been a good use of their time.
- The full impact of training sessions will be evaluated following the end of first year of the RDO programme (August 2019). However, it is already clear that there has been an increase in the numbers staff attending sessions and especially in the “working with business” strand, trainers have observed an increase in the diversity of new academics getting involved with this area of training. In our KTP sessions for example, all the participants were new to KTPs and from a wide range of backgrounds and faculties include in the Veterans Institute who are currently progressing a new KTP application (worth around £175,000).
- Research staff may access the fee waiver scheme for formal programmes of study, including locally funded doctorates.
- Our University Sabbatical Scheme encourages applications from Early Career Researchers. Efforts are made by the awarding panel to ensure that a reasonable proportion of ECRs are supported. Staff may apply for a sabbatical to support them in completing their doctorate.
- We have a mail base of research staff to inform researchers of development and other opportunities.

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- We have established Researcher Development Networks running at the Cambridge and Chelmsford campuses to provide peer support and informal career development opportunities for staff.

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 and progress:

- Career development is discussed and supported through induction, probation, appraisal and regular feedback.
- Researchers are encouraged to network widely; we have established the Researcher Development Network to support this; cross-faculty initiatives are also actively encouraged.
- The Job Families booklet which explains what is required in each job family, and at each level of progression, is available on HR Online (<http://web.anglia.ac.uk/hr/staffarea/>)
- We offer a range of training designed to help researchers understand the career options open to them. Career Action Planning workshops for researchers are available to staff via the RDO. These complement the 'Building Your Academic Career' workshops, which also address career planning for staff with teaching responsibilities and Preparing for Professor and Readership Applications. In addition, we have online resources accessible from the RDO website (<https://Anglia.ac.uk/rdo>).
- All of the training available via the RDO is mapped to the OECD list of transferable skills for researchers, as well as to Vitae's Researcher Development Framework.
- Under its 'Working with Business' stream of training, the RDO offers a range of opportunities to support researchers to engage with individuals and organisations outside of academia. To date, over eighty researchers have taken part in the face-to-face sessions we have offered in this area. These sessions include; Commercialise your research, Create impact through consultancy, Grow your research outputs and income with KTP, Finding collaborators and Preparing a KTP proposal step-by-step guide, Intellectual Property for researchers (6 workshops) and Finding partners and collaborators: meet your Partnership Development Manager delivered across two University sites). There has been an increase in numbers and the diversity of new academics getting involved with this area of training and in our KTP sessions, all the participants were new to KTPs and from a wide range of backgrounds and faculties include in the Veterans Institute who are currently progressing a new KTP application (worth around £175,000).
- We have recruited researchers from industry, and actively seek to do so when appropriate. Our researchers have moved into industry.
- Our Partnership Development Managers (PDMs) support the formation of new partnerships and collaborations on behalf of our institution. PDMs work closely with researchers to develop collaborative research, contract research, and knowledge transfer and consultancy opportunities. They have also provided training available through the RDO (Finding partners and collaborators: meet your Partnership Development Manager)
- We introduced a Principal Research Fellow role as set out above and hope to recruit to it shortly.

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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 and progress:

- The RDO provides opportunities for researchers to develop the communication and other professional skills that they will need to be both effective researchers and highly skilled professionals in whatever field they choose to enter. The wide range of opportunities available is mapped to the OECD list of transferable skills for researchers, as well as to Vitae's Researcher Development Framework.
- We are piloting a new training and development App called Inkpath, which recommends activities and training programmes for individuals and keeps accurate records of all their training and development activities. It enables researchers to develop a permanent record of their Personal Development Planning (PDP) and CPD activities, as staff who sign up have an account for life which they take with them between institutions.
- All staff participate in the annual appraisal process. Since 2015, research plans have been further embedded in the process showing our commitment to developing our activities in this area. Appraisal discussions are further augmented by the IRR.
- We run sandpits that encourage researchers to develop interdisciplinary projects and to collaborate with external partners. These have been attended by ~100 of our academics and 7 multidisciplinary projects have been created with a range of external partners, including Clinical Commissioning Groups, County and Local Councils, Fire, Police and Ambulance Services, charities and private sector companies.
- We run sandpits that encourage researchers to develop interdisciplinary projects and to collaborate with external partners.
- 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>

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Action	Responsibility	Timescale	Measure of Success	Update 2019
We will develop a range of transferable skills training opportunities.	RIDO	Summer 2018	Three new transferable skills training opportunities available	COMPLETE - The RDO provides over seventy opportunities most of which offer some element of transferable skills training. Examples include networking skills, communication/presentation skills, written and oral, project and time management skills, enterprise skills including commercialisation, patenting and knowledge transfer. Evaluation of the impact of these sessions will be determined during the end of RDO programme evaluation (August 2019) using appropriate evaluation measures.

New Action	Responsibility	Timescale	Measure of Success
Develop a leadership programme for aspiring research leaders.	RIDO	May 2020	Development of outline programme devised. Content developed for each individual component part of programme. Evaluation methods set.
Implement leadership programme for aspiring research leaders.	RIDO	October 2020	Programme is rolled out. A cohort of at least 10 aspiring research leaders is identified and programme is initiated.
Review leadership programme for aspiring research leaders.	RIDO	July 2021	The 1 st cohort of at least 10 research leaders on the programme is reviewed.

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 and progress:

- We offer a range of training designed to help researchers understand the career options open to them. Career Action Planning workshops for researchers are available to staff via the RDO. These complement the 'Building Your Academic Career' workshops, which focus more on career planning for staff with teaching responsibilities and Preparing for Professor and Readership Applications. We also have online resources accessible from the RDO website (<https://Anglia.ac.uk/rdo>).

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- Supporting a broad-minded approach to career development for researchers, all of the training available to via the RDO is mapped to the OECD list of transferable skills for researchers, as well as to Vitae's Researcher Development Framework.
- The RDO offers a range of opportunities to support researchers to engage with individuals and organisations outside of academia under its 'Working with Business' stream of training. Since the last review, over eighty researchers have attended 12 training sessions designed to support their ability to work with business and industry. These sessions include; Commercialise your research, Create impact through consultancy, Grow your research outputs and income with KTP, Finding collaborators and Preparing a KTP proposal step-by-step guide, Intellectual Property for researchers (6 workshops) and Finding partners and collaborators: meet your Partnership Development Manager delivered across two University sites)
- 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 and is currently under review as part of our Athena SWAN/Career progression work.
Our colleagues are encouraged and supported to work with external organisations and this broadens our awareness of other fields and sectors.

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 and progress:

- Appraisal is aligned to our University Strategy, the Research and Innovation Strategy 2018-2022 and other strategic plans.
- 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 including through the completion of Individual Research Reports (IRRs) which sets out plans and requirements for the year ahead and is used by staff as career planning for their personal progression.
- We offer a suite of courses aimed specifically at research staff within the RDO around career development such as Career Action Planning and Building Your Academic Career workshops.
- 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.

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Evidence for current compliance and progress:

- All staff complete a mandatory online induction complemented by a welcome event and local induction.
- Checklists are provided to 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.
- We state our commitment to supporting Early Career Researchers (ECRs) to become established in their fields through the ECR Charter. In place since 2016, this Charter is currently being revised to ensure it meets the needs of ECRs moving forward (as discussed above).

Action	Responsibility	Timescale	Measure of Success	Update 2019
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 checklist includes pointer to research information.	COMPLETE – Induction checklist with updated information in place. This has meant that staff are more aware of the requirements placed upon them as researchers by the University.

New Action	Responsibility	Timescale	Measure of Success
Develop a research induction programme for research active staff that informs them about all research opportunities and support available at ARU. (Clause 2.1)	HRS/RIDO	January 2020	Induction developed.
Implementation of research induction programme. (Clause 2.1)	HRS/RIDO	April 2020	Induction programme has been delivered to all existing and all new starters.

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New Action	Responsibility	Timescale	Measure of Success
Implementation of research induction programme. (Clause 2.1)	HRS/RIDO	April 2021	Induction programme is being delivered roughly every 4 months (1 session offered in each academic trimester). Of new staff on research and teaching contracts with responsibility for research or research only contracts, 75% have attended the research induction within the first 6 months of joining ARU.
Review the implementation of the research induction programme. (Clause 2.1)	HRS/RIDO	October 2020	6 month review of research induction programme completed. Proportion of fixed-term contract staff (both full and part time) and those on short-term contracts are analysed to ensure equal opportunities for all research staff regardless of contract type
Review the implementation of the research induction programme. (Clause 2.1)	HRS/RIDO	April 2021	Staff report clear understanding of the research support available to them at ARU. Attendance data shows 75% attendance on the research Induction programme for new staff within the first 6 months of joining ARU. Impact of the induction programme is monitored and increasing numbers of inductees are found to attend further RDO training and development opportunities during the academic year.

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 and progress:

- The Job Families Booklet clearly articulates the skills and experience required at each level
- In 2018, we launched the Researcher Development Observatory (RDO), a programme of training and opportunities open to all staff that delivers training that addresses the 12 subdomains of Vitae's Researcher Development Framework (RDF). All RDO training is mapped to the RDF and to the OECD's list of transferable skills for researchers. This academic year the RDO offers 107 researcher development sessions across two university sites. These opportunities include both face-to-face and online sessions. We have face to face sessions including recruiting, managing and leading a research team as well as an online course on Professional Skill for Research Leaders.

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- To facilitate access to these opportunities we keep a comprehensive contact list of all staff with research responsibilities, which is updated on a monthly basis (currently at ~750). We circulate regular researcher development newsletters and email updates to these staff and monitor opening rates of these communications. We have also used flyers dropped to all desks to increase awareness of the RDO sessions on offer.
- 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. Further additional training is also provided by individual faculties.
- Information about the RDF is available to our research staff via the RDO webpages.

Action	Responsibility	Timescale	Measure of Success	Update 2019
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 allowing staff to orientate themselves around where they need to focus their current and future career	COMPLETE - All training offered through the RDO is mapped to the RDF, and information about how each session relates to the sub-domains of the RDF is provided through the RDO webpages at https://www.anglia.ac.uk/rdo

New Action	Responsibility	Timescale	Measure of Success
Revise our approach to mentoring with the development of a new pilot programme strand focus on support for mentoring research leaders. (Clause 2.3)	HRS	April 2020	Mentoring provision is revised. A new pilot programme strand supporting mentorship of at least 10 research leaders is devised and embedded into our career progression support framework.
Support research leaders to act as mentors for other Researchers. (Clause 2.3)	HRS/RIDO	December 2020	A cohort of at least 10 research leaders are trained in how to act as mentors. At least 10 staff mentoring relationships are in place.

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New Action	Responsibility	Timescale	Measure of Success
Support research leaders to act as mentors for other Researchers. (Clause 2.3)	HRS/RIDO	July 2021	Mentee career development progression is monitored and baseline metrics established through quantitative and qualitative metric analysis (e.g. number of journal submissions, promotions, grants funded).
Deliver mentor and mentee training for researchers. (Clause 2.3)	HRS/RIDO	September 2020	Training delivered. 100% of staff in mentoring relationships have completed training programmes on mentorship as either mentors or mentees.

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 and progress:

- 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.
- We have an annual grading review procedure, which is open to all staff, see <http://web.anglia.ac.uk/hr/policies/#G>

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New Action	Responsibility	Timescale	Measure of Success
Develop researcher development programmes for different career stages (ECR, Mid-Careers and Profs and Readers).	HRS/RIDO	April 2020	Defined programmes are developed and accessible from the RIDO website. Researchers are able to navigate and use the information to build towards a desired researcher development programme with training and development sessions apparent for each stage. Increase in staff engaging in career development sessions with mentors appropriate for desired programmes.
Review the participation of staff of different career stages in the researcher development programmes	HRS/RIDO	July 2021	Review completed. Increase in staff engaging in specific career development programmes is observed. Feedback from researchers using the programmes shows training and development activities attributed to each programme are accurate and supportive.

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 and progress:

- Our appraisal scheme encourages all staff to participate in CPD activities.
- A wide range of activities to support researcher development are available to our staff through the RDO.
- 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.

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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 and progress:

- Our appraisal system has a clear focus on performance and development and incorporates Individual Research Reports. 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.
- All staff are offered opportunities to develop their careers.
- We introduced a Principal Research Fellow post to improve career progression for our researchers and hope to recruit in the next round (autumn 2019).

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 and progress:

- 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 credit prior learning.
- The PG Cert for HE is available and requirement to enrol is reviewed through academic probation.

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

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Evidence for current compliance and progress:

- 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 and we encourage and support staff to obtain membership of the HEA.
- As of 2017/18, 72% of our academic staff have a teaching qualification compared to HESA 2014/15 average of 44%.

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 for current compliance and progress:

- 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.

New Action	Responsibility	Timescale	Measure of Success
Revise our approach for mentoring researchers.	HRS/RIDO	April 2020	Mentoring programme is evaluated and revised. A new programme supporting at least 10 research leaders to act as mentors for researchers is devised. The mentoring programme is more inclusive matching the correct mentors with mentees. Along with 1-2-1 mentoring, group mentoring is available especially where the number of mentors in specific areas is limited. The new mentoring programme is embedded into our career progression support framework.
Support researchers to act as mentors for other researchers	HRS/RIDO	September 2020	A cohort of at least 10 researcher mentors and mentee relationships will be established. Success staff mentoring relationships will be in place. 100% of staff mentoring relationships will have completed training programmes on mentorship as either mentors or mentees.

Clause 4.5 (14)

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

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Evidence for current compliance and progress:

- We have a range of mentoring opportunities available. All staff are allocated a mentor during their probationary period.
- The 2017 ARU Researcher Development and Training Survey (n=179) found that 48% of respondents (n=85) had been involved in mentoring programmes offered at ARU. These included the mentoring scheme for probationers (35%), mentoring for aspiring readers and professors (17%), through the women's network (2%), and through informal routes (20%). Whilst 61% of the survey respondents said they would benefit from mentoring for research career development, only 29% of all respondents had received such mentoring. Only 29% of ECRs on a fixed term contract reported that they had received mentoring, but 77% felt they would benefit from mentoring around their career development.

New Action	Responsibility	Timescale	Measure of Success
Revise our approach for mentoring researchers. (Clause 2.3)	HRS/RIDO	April 2020	Mentoring programme is evaluated and revised. A new programme supporting research leaders to act as mentors for researchers is devised. The mentoring programme is more inclusive matching the correct mentors with mentees. Along with 1-2-1 mentoring, group mentoring is available especially where the number of mentors in specific areas is limited. The new mentoring programme is embedded into our career progression support framework.
Support researchers to act as mentors for other researchers	HRS/RIDO	September 2020	A cohort of researcher mentors and mentee relationships will be established. Successful staff mentoring relationships will be in place and show longevity. All staff in mentoring relationships will have completed training programmes on mentorship as either mentors or mentees.

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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 and progress:

- Our work shadowing scheme is available to all staff.
- Our Sabbatical Scheme guidance encourages applications from ECRs.
- Annual research conferences run centrally or within faculties.
- Our appraisal scheme is complemented by our *Personal Qualities at Work* document, available to staff on our intranet.

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 and progress:

- 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/rdo/docschl/training/Epigeum.phtml>.
- The revised Intellectual Property policy was approved in mid-2018.
- A Commercialisation Officer was appointed in January 2018 who has been providing support and training on commercialisation activities, including the roll out of the new IP Policy. The commercialisation officer has dealt with 109 enquiries from academics leading to 1 licence and 8 collaboration agreements. Two patents have been filed and another 3 are under consideration.
- Extensive training available through the 'Working with business' strand of the RDO <https://Anglia.ac.uk/rdo> Sessions included: Commercialise your research, Create impact through consultancy, Grow your research outputs and income with KTP, Finding collaborators and Preparing a KTP proposal step-by-step guide, Intellectual Property for researchers (11 workshops covering topics including; general introduction to IP, Licensing basics, patents, copyright and IP for grant applications) and Finding partners and collaborators: meet your Partnership Development Manager.

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Action	Responsibility	Timescale	Measure of Success	Update 2019
We will review and revise our Commercialisation Policy.	RIDO	Summer 2017	New Commercialisation Policy developed.	COMPLETE - The revised Intellectual Property policy was approved in mid-2018. A Commercialisation Officer was appointed in January 2018 who has been providing support and training on commercialisation activities, including the roll out of the new IP Policy. The commercialisation officer has dealt with 109 enquiries from academics leading to 1 licence and 8 collaboration agreements. Two patents have been filed and another 3 are under consideration. 11 workshops on IP for internal and external audiences have been delivered.
Training will be provided around knowledge transfer and commercialisation	RIDO	Summer 2018	Training programme operational. Staff initiate new collaborations with a range of external partners, increasing income generation	COMPLETE - Extensive training available through the 'Working with business' strand of the RDO https://Anglia.ac.uk/rdo Sessions included: Commercialise your research, Create impact through consultancy, Grow your research outputs and income with KTP, Finding collaborators and Preparing a KTP proposal step-by-step guide, Intellectual Property for researchers (6 workshops) and Finding partners and collaborators: meet your Partnership Development Manager and were all delivered across two University sites. KTP sessions resulted in academics working to develop new projects worth £175,000 and sandpits that encourage researchers to develop interdisciplinary projects and to

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Action	Responsibility	Timescale	Measure of Success	Update 2019
				collaborate with external partners have generated 7 multidisciplinary projects with a range of external partners, including Clinical Commissioning Groups, County and Local Councils, Fire, Police and Ambulance Services, charities and private sector companies.

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 and progress:

- 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 is responsible for ensuring that the Gap Analysis and Action Plan relating to the Concordat to Support Research Integrity is updated as required and proposes relevant actions to Research and Innovation 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>

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'The Concordat to support the Career Development of Researchers'**

Action	Responsibility	Timescale	Measure of Success	Update 2019
Continue to monitor research integrity through the annual research activity report to the Board of Governors.	RIDO	Annually from December 2019	Annual reports prepared and presented to the Board of Governors.	<p>An annual report to the Board of Governors is submitted by the Vice Chancellor and includes our annual statement of research integrity, in line with our responsibilities under the Concordat to Support Research Integrity. Following approval by the Governors, this is made available on our website. Please see: https://www(anglia.ac.uk/research/research-environment/research-ethics-and-integrity/research-integrity</p> <p>We have a Research Integrity Working Group that meets twice a year.</p> <p>We have a new Guidance for the Investigation of Allegations of Misconduct in Research, to replace the former version and a new Anglia Ruskin University Code of Good Research Conduct is currently going through the committee approval process.</p> <p>We will continue to monitor this action and review annually (December 2019)</p>

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Action	Responsibility	Timescale	Measure of Success	Update 2019
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	We have provided research integrity training for all new research-active academic staff. In 2019, we extended this action, making completion of training in research integrity compulsory for all research active staff. Completion of this training is monitored on an ongoing basis by the Research Integrity Working Group. We will continue to monitor this action and review annually (December 2019)

New Action	Responsibility	Timescale	Measure of Success
Monitor uptake of research integrity training	RIDO	January 2020	Metrics show 90% of new staff to have completed the research integrity training within their probation period.
Monitor uptake of research integrity training	RIDO	December 2020	Of existing staff, 60% to have completed the research and integrity training.

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 and progress:

- 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.

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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 and progress:

- Career development planning begins during probation and is developed and monitored through the appraisal cycle where development opportunities are discussed. From the ARU Researcher Development and Training Survey (2017) 58% of respondents have a career development plan in place.
- Via the RDO, training is offered for researchers wanting to update or make a career development plan (<https://web.anglia.ac.uk/anet/rdo/research/RDP/images/7.%20Researcher%20Development%20Observatory%20-%20Career%20Development.pdf>)
- We are piloting a new App, Inkpath, which enables researchers to record their Personal Development Planning (PDP) and CPD activities.
- We have a link to Vitae's professional development planning for researchers online course on the RDO homepage (<https://Anglia.ac.uk/rdo>).
- Researchers are encouraged to take ownership of their own career development, are supported to do so with specific career planning workshops, 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 and progress:

- Career development is discussed regularly and CPD is recorded as part of the annual appraisal process.
- The RDO has offered sessions on Personal Development Planning to support researchers to plan, record and log their CPD.
- We are piloting a new App, Inkpath, which enables researchers to record their Personal Development Planning (PDP) and CPD activities.

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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 and progress:

- ARU is compliant with their Public Sector Equality Duty.
- 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 by 2020.
- 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 and Inclusive Employers
- We hold annual Women's Network conferences which are attended by over 100 staff from across ARU. At Women's Network sessions we invite our staff to come and talk to members about their research with a primary focus on career development.
- We have active inclusivity networks for: Women, BME, LGBT, Disabled and Part Time & Flexible Working (PTFW) staff
- We use the Working Families 'happy to talk flexible working' logo for our recruitment adverts.
- We were the first HEI to have signed up to the Timewise 'Hire me my Way' campaign to further commit our support to flexible working.
- We were highly commended in the Working Families Top Employers National awards in 2017
- We are regularly asked to attend sector wide events to talk about EDI and in 2018 AdvanceHE published a case study on how we embed intersectionality
- We have an action plan in place to improve the work experience of our disabled staff
- We are institutional Athena SWAN Bronze Award holders and made our first departmental Bronze application in March 2019. We are developing further departmental applications for submission in 2019-2020. We signed up to the Race Equality Charter in 2018.
- In April 2019, we were shortlisted for a national UHR award for our work on equality and diversity (winners will be announced 23 May 2019).

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.

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Evidence for current compliance and progress:

- All staff are required to undertake equality & diversity training during probation.
- We were re-awarded with our institutional Athena SWAN Bronze Charter Award in November 2018 and made our first departmental Bronze application in March 2019. We are developing a further 3 departmental applications for submission in 2019-2020 and we aspire to achieve an Athena Swan Silver award for 2021/2022.
- We have inclusivity networks whose primary focus is on supporting the development of colleagues: Women's, BME, LGBT, Disabled and Part Time & Flexible Working (PTFW). Our PTFW forum has provided training and development for staff and managers of part time and flexible staff to support career development.

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 and progress:

- We fully complied with the REF arrangements to consider individual staff circumstances in REF2014, and are currently developing our approach to individual staff circumstances for REF2021.
- We have Dignity at Work & Study Code of Conduct and Grievance Procedures in place, and available to staff our intranet.
- Our Dignity at Work & Study Code of Conduct is currently under review once approved the revised Code will be available on HR online
- 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 and progress:

- 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%. In 2017, our results increased to 81% but the HEI benchmark reduced to 70%.

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'The Concordat to support the Career Development of Researchers'**

Action	Responsibility	Timescale	Measure of Success	Update 2019
Review Staff Survey results relating to work-life balance and take action if required.	HRS	Summer 2017	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.	COMPLETE. Our academic staff reporting they had a good work life balance increased from 51% in 2015 to 57% in 2017. This is above the median benchmark for HEIs (50%). Academic staff reporting ARU provides good support to help me balance my work and personal commitments (e.g. flexible working, parental leave etc.) increased from 70% in 2015 to 73% in 2017 which is significantly above the benchmark for HEI (medium 50%, max 62%).

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 and progress:

- Flexible working applications from all staff are considered fairly and based on the merits of each case.
- We established the Part-Time & 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.
- As a result of the above, the number of flexible working requests increased sharply in 16/17 (from 37 in 15/16 to 103). 92% of these were approved

Action	Responsibility	Timescale	Measure of Success	Update 2019
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 August	Baseline developed and used to inform monitoring of flexible working appointments.	This action has been updated to 'investigate why so few men and academic staff apply for flexible working and take positive action to address the findings' – baseline 2016/17 – men were 11% of total, academics were 7%.

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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 and progress:

- We have challenging equality targets that specifically relate to representation of BME staff across the workforce from 11.6% in 2017 to 14% in 2027 and to increase the number of female professors from 31% in 2017 to 40% in 2027
- Recruitment panels are constructed to achieve equality and diversity balance at the recruitment stage.
- We review our recruitment data on an annual basis. This is presented to our Equality, Diversity and Inclusion Group (EDIG) who agree any relevant action.

Action	Responsibility	Timescale	Measure of Success	Update 2019
Monitor progress against our ED&I objectives (2016-2020)	HRS	Annually in August	ED&I objectives are met. Deliver and meet targets in the action plan.	EDIG was reconfigured from February 2019 and, as a result, the action plan will be amended. We will continue to monitor progress against the stated objectives every 12 months and take action/amend as appropriate in relation to new action plan.

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

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Evidence for current compliance and progress:

- Individual circumstances are taken into account when considering requests for flexible working.
- All staff can make an application to work flexibly.
- Our Part-Time & Flexible Working Forum provides support and advice, working with HR and managers as appropriate.

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 and progress:

- Our Dignity at Work & Study Code of Conduct is currently under review and once approved will be available on HR online along with the Grievance Procedure.
- In our 2017 staff survey, 6% of respondents reported being bullied or harassed at work. This was equal to the median Capita HEI benchmark at the time. Individual faculties and services took action in relation to their own results.
- We have a zero tolerance policy for genuine cases of bullying and harassment.
- Every Faculty/Service has their own HR Manager who run regular, demand led sessions for managers on policies for disciplinary and grievances, bullying and harassment and flexible working.

Action	Responsibility	Timescale	Measure of Success	Update 2019
Review the 2017 staff survey results relating to discrimination, bullying and harassment and take appropriate action.	HRS	Summer 2017	Where required, areas will develop an action plan.	COMPLETE - Action plans were developed with individual Deans and Directors. HR Managers ran targeted bullying and harassment sessions at faculty management team meetings and as lunch and learn sessions in 2018 and 2019.

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 and progress:

- We were re-awarded with our institutional Athena SWAN Bronze Charter Award in November 2018.

**Gap Analysis and Action Plan (2017-2021) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

- We have made our first departmental Bronze application, and we are developing a further 3 departmental applications for submission in 2019-2020.
- 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 make changes to 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 (2017-2021) to support the implementation of
'The Concordat to support the Career Development of Researchers'**

GLOSSARY

Acronym	Full name
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
ECR	Early Career Researcher
ED&I	Equality, Diversity and Inclusion
EDIG	Equality, Diversity and Inclusion Group
HEI	Higher Education Institution
HRS	Human Resource Services
PDP	Personal Development Plan
PDM	Partnership Development Manager
PG Cert for HE	Post Graduate Certificate for Higher Education
RDF	Researcher Development Framework
RDM	Researcher Development Manager
RDO	Researcher Development Observatory
RDWG	Researcher Development Working Group
REF	Research Excellence Framework
RIDO	Research, Innovation and Development Office