

**Gap Analysis and Action Plan (2015-2017) 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	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 2015-17 contains objectives focusing on research(http://www.anglia.ac.uk/~media/Files/corporate-plan-2015-17.pdf?la=en). Our Research Strategy 2015-17 (not yet published) will contain milestones for the delivery of these objectives. Achieving our research objectives ensures that our university is seen as a good place for researchers to be employed.</p> <p>Support for research staff is mentioned in various reports made to Board of Governors, Senate and CMT. The Research Concordat is a standing item on the agenda for the Research Committee.</p> <p>Information in relation to the Concordat continues to be disseminated to all relevant staff and managers through a variety of channels including our staff publication 'Bulletin' and at research conferences. Copies of the Concordat are available on our website. http://web.anglia.ac.uk/anet/rdcs/research/concordat.pdf</p>	<p>Research Committee regularly monitors progress with Corporate Plan objectives and Research Strategy milestones.</p> <p>Investigate additional methods of communicating information about the Concordat to researchers e.g. article in Research Highlights magazine</p>	<p>Deputy Vice Chancellor (Research and Innovation)</p> <p>Research Development and Commercial Services (RDSCS) and HR Services (HRS)</p>	<p>Annually in July</p> <p>Autumn 2015</p>
Measure of Success: The achievement of the targets for research as outlined in the Corporate Plan and Research Strategy. For example, the percentage of eligible staff submitted to our annual mock REF exercises to rise from 29% in 2014 to 55% in 2017.					

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	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. Links to our equality policies are included on our Jobs webpage, and we undertake comprehensive equality monitoring at the application stage. (https://www24.i-grasp.com/fe/tpl_AngliaRuskin01.asp)</p> <p>All staff involved in recruitment are encouraged to complete recruitment and selection training. This is mandatory for chairs.</p> <p>For all posts, the qualifications, skills and experience required are identified as part of the person specification.</p> <p>HR Services review each job description and person specification. CMT staffing group consider each vacancy as they arise and approve to recruit. We have up-to-date job descriptions and person specifications, to ensure consistency across the institution.</p> <p>HRS monitor data on the diversity of applicants and appointees on an annual basis.</p>	<p>Continue to monitor completion of mandatory training.</p> <p>All recruitment panel chairs to have completed recruitment and selection training.</p>	<p>HRS</p> <p>HRS</p>	<p>Monitored during probation on an individual basis</p> <p>Monitored when panels are scheduled</p>
Measure of Success: Training for Chairs to continue at 100%. A baseline for other staff involved in recruitment needs to be established, but will grow in an appropriate manner to reflect the implementation of this Action Plan by 2017. The level will be determined when the baseline is known.					

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	Clause	Evidence for current compliance	Actions	Responsibility	Timescale
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, e.g. linked to funding which has no reasonable prospect of renewal, in line with our Fixed Term Employment Policy and Procedure.</p> <p>Successive fixed term contracts are always reviewed at the point of renewal.</p>	<p>Continue to review at recruitment stage and CMT oversee by approving jobs</p> <p>Continue to review on receipt of request to renew</p> <p>Monitor the proportion of fixed term researcher contracts as regards overall research contracts</p>	<p>HRS / CMT</p> <p>HRS</p> <p>HRS</p>	<p>When the role is considered by the CMT staffing group which meets on average every two weeks</p> <p>Dealt with as prior to individual contract renewal</p> <p>Annually in December</p>
Measure of Success: Number of fixed term researcher posts as a percentage of our research staff headcount diminishes on annual basis.					

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	Clause	Evidence for current compliance	Actions	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. We have robust guidelines in relation to the constitution of appointment panels to ensure consistency.</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.</p> <p>All new staff complete mandatory equality and diversity training.</p> <p>Our People Strategy 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>	Review and revise the Recruitment and Selection Policy.	HRS	Annually in December
<p>Measure of Success:</p> <ol style="list-style-type: none"> 1. Recruitment & Selection Policy reviewed and revised in December 2015 to ensure its currency and compliance with best practice and legislation. 2. Our HR Services Recruitment Team meets the KPIs set for it in respect of service delivery and customer service. 					

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	Clause	Evidence for current compliance	Actions	Responsibility	Timescale
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). Grading review procedure in place.	<p>Assess and review the grading review processes</p> <p>Monitor staff satisfaction with equality of reward through staff surveys such as CROS and PIRLS</p>	<p>HRS</p> <p>RDCS</p>	<p>Autumn 2015</p> <p>Summer 2017</p>
Measure of Success: Maintain satisfaction levels with equality of reward as demonstrated in CROS and PIRLS 2017 using a baseline to be determined by CROS and PIRLS 2015 (both closing 31 May 2015).					

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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	Evidence for current compliance	Action Required	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 and CROS indicated that researchers and PIs find appraisal valuable. In 2015 we moved to a fully online appraisal system and have further embedded research plans into the process for academic staff.</p> <p>We offer a wide range of training and development opportunities which are open to all research staff regardless of whether they are on a fixed term contract.</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 2013 showed that researchers are encouraged to engage in personal and career development.</p>	<p>Evaluate the revision to the appraisal process through the Appraisal Working Group</p> <p>Consider implementation of a central 'hub' for researchers to locate information about development opportunities.</p> <p>Review and act upon feedback from CROS 2015. Reassess in CROS 2017</p>	<p>HRS</p> <p>RDCS & HRS</p> <p>RDCS</p>	<p>December 2015</p> <p>December 2015</p> <p>Summer 2015 and Spring 2017</p>
Measure of Success: Continued evidence of staff satisfaction with appraisal and with personal and career development as evidenced by CROS 2015.					

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	Clause	Evidence for current compliance	Actions	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.	<p>Staff on fixed term contracts are offered the same support as those on permanent contacts e.g. in relation to induction, probation and appraisal.</p> <p>Our Fixed Term Employment Procedure was revised in August 2014 to strengthen our commitment to avoiding the use of fixed term contracts simply because funding is external. A copy of the document is available on HR Online – http://web.anglia.ac.uk/hr/policies</p>	<p>Review data on the percentage of research staff employed on fixed term contracts each year since the revision of the Fixed Term Employment Procedure.</p> <p>Monitor leaver data annually to check for differences in the contract type of leavers and to assess exit survey responses to provide data on reasons for leaving to inform strategies in response to any such differences.</p>	<p>HRS</p> <p>HRS</p>	<p>December 2016</p> <p>December 2015 and December 2016</p>
Measure of Success: Leaver data demonstrates that the type of contract is not a major factor in voluntary resignations.					

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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.	All new staff complete our online induction, supported by a welcome event to meet the Vice Chancellor. As part of academic probation all staff are supported by a mentor throughout their probationary period.	Evaluate the implementation of online induction	HRS	Spring 2015
		Staff development needs are identified and progress monitored through probation and appraisal. Our appraisal scheme was revised in 2015 to fully incorporate Research Plans to give a greater emphasis on research.	Monitor the confidence of research managers in managing staff performance, motivation and advising on career opportunities etc through PIRLS 2015	RDCS	December 2015
		We provide a range of Management Development and Performance Management training courses. We are also sponsoring staff attendance on the Aurora programme.	Participate in the Epigeum 'Impact' programme to develop tools to assess Epigeum usage.	RDCS	Summer 2016
		We provide access to online courses on research leadership (Epigeum) and to a Researcher Bursary Scheme.	Review methods of promoting Epigeum programmes to increase uptake	RDCS	Autumn 2015
Measure of Success: Epigeum tools in place and evidence of update gathered.					

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	Clause	Evidence for current compliance	Action Required	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>Ensure we have a suitable institution-wide programme of training for our researchers to maintain and progress their careers.</p> <p>Participation in this programme will be monitored through the Researcher Forum and an annual feedback survey.</p>	<p>HRS/RDCS</p> <p>RDCS</p>	<p>Autumn 2016</p> <p>Annually in July</p>
Measure of Success: Institute the Researcher Forum to meet at least twice annually with at least 30% of researchers in attendance and ensure that researcher support and training is a key matter for discussion at Forum meetings.					

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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. Pay progression within grade is incremental, subject to satisfactory performance. The grading review process is transparent and briefing sessions are provided.	Undertake a review of the Grading Review Procedure	HRS	Autumn 2015
Measure of Success: Maintain satisfaction levels with equality of reward as demonstrated in CROS and PIRLS 2017 using a baseline to be determined by CROS and PIRLS 2015 (both closing 31 May 2015).					

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	Clause	Evidence for current compliance	Actions	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 and are promoted via HR Online and in <i>Bulletin</i>. Bursaries currently provide opportunities for researcher career development. Our People Strategy refers</p> <p>Information for students and staff on the Researcher Development Framework is available on the RDCS Research Support website - http://web.anglia.ac.uk/anet/rdcs/research/info/rdf.phtml</p>	<p>Organise further focus groups with research staff to obtain feedback on development opportunities.</p> <p>Assess need for further sessions on the Researcher Development Framework and schedule if required.</p> <p>Review the Early Career Bursary Scheme and propose amendments to increase uptake.</p> <p>Develop and implement a post-doctoral 'staff charter' to support colleagues into publishing and becoming established researchers.</p>	<p>RDCS</p> <p>RDCS</p> <p>HRS</p> <p>HRS/RDCS</p>	<p>December 2015</p> <p>Autumn 2015</p> <p>December 2015</p> <p>Summer 2016</p>
Measure of Success: Assess the extent to which staff use the RDF to support their professional development activity as demonstrated in CROS 2017 using a baseline to be determined by CROS 2015 (closes 31 May 2015).					

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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	Evidence for current compliance	Action Required	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>Our Researcher Development Working Group provides feedback to the Research Committee.</p> <p>Our University Sabbatical Scheme encourages applications from Early Career Researchers. Efforts are made by the awarding panel to ensure that a reasonable proportions of ECRs are supported.</p> <p>Research staff have access to a wide range of training and development opportunities (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>Consider implementation of a central 'hub' for researchers to locate information about development opportunities.</p> <p>Continue to evaluate sabbatical outcomes to ensure return on investment Monitor the applications and awards of the University Sabbatical Scheme in respect of ECR status.</p> <p>Review the usage of the research staff mailbase to improve its value as a communication tool</p>	<p>RDCS & HRS</p> <p>HRS</p> <p>RDCS</p>	<p>December 2015</p> <p>July 2015 and July 2016</p> <p>Autumn 2015</p>
<p>Measure of Success: 1. Maintain satisfaction levels with equality of treatment in respect of career development and experiential opportunities as demonstrated in CROS and PIRLS 2017 using a baseline to be determined by CROS and PIRLS 2015 (both closing 31 May 2015).</p> <p>2.Increase the percentage of sabbaticals awarded to ECRs (compared to 10% in 2015)</p>					

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	Clause	Evidence for current compliance	Action Required	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 induction, probation, appraisal and regular feedback. Researchers are encouraged to network widely. Cross-faculty initiatives are actively encouraged.</p> <p>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> <p>A 'Building Your Academic Career' workshop is available to all academic staff.</p>	Review appraisal guidance to incorporate advice to research managers to ensure discussion of career development plans, engagement in appropriate activities and promotion expectations in the appraisal process.	HRS	December 2015
Measure of Success: 90% of academic staff report that their manager discussed career development and/or promotion at appraisal in the post-appraisal survey.					

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	Clause	Evidence for current compliance	Actions	Responsibility	Timescale
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>A wide range of training and development activities are available to all our staff.</p> <p>All staff participate in the annual appraisal process. Research plans have been further embedded in the 2015 process showing our commitment to developing our activities in this area.</p> <p>Feedback from the staff survey, development events and appraisal is used to inform our provision of further development events and activities.</p> <p>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/</p>	<p>Review communication channels used to promote development activities to ensure researchers are aware of the opportunities available.</p> <p>Explore opportunities to expand mentoring opportunities.</p>	<p>HRS & RDCS</p> <p>HRS</p>	<p>Autumn 2015</p> <p>Spring 2016</p>
<p>Measure of Success:</p> <p>CROS 2015 demonstrates that research staff find staff review/appraisal useful, specifically in helping provide a focus for career aspirations and how far they are met by their current role, leading to training or continuing professional development opportunities.</p>					

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	Clause	Evidence for current compliance	Actions	Responsibility	Timescale
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.	<p>Advice on career planning is available to all staff including the Building Your Academic Career workshop.</p> <p>We continue to facilitate interdisciplinary research, from individual projects to the Research Institutes, to reflect the overarching foci of research endeavours across the institution.</p> <p>Our work-shadowing scheme is open to all staff.</p>	<p>Review and facilitate appropriate research skills and training opportunities.</p> <p>Explore how we can introduce wider coaching and mentoring schemes (linked to 3.3).</p> <p>Work shadowing take up is very low for academic staff in comparison with support staff. Consider ways to promote more actively to reach a community who may not have thought about it</p>	<p>RDSCS</p> <p>HRS</p> <p>HRS</p>	<p>Annually in July</p> <p>Spring 2015</p> <p>December 2016</p>
Measure of Success: Increase proportion of research staff engaged in work shadowing scheme to 30%					

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	Clause	Evidence for current compliance	Action Required	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 is aligned to our Corporate Plan, the Research Strategy and other strategic plans. Researcher plans form an integral part of the process for academic staff. Appraisal is evaluated annually.</p> <p>We continue to offer a suite of courses aimed specifically at research staff.</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>Review provision of training in relation to the RDF</p> <p>Introduce a standing item on the Researcher Development Working Group agenda relating to career development of researchers. Ask all faculties to confirm local arrangements relating to career development under this item.</p>	<p>RDCS</p> <p>RDCS</p>	<p>Autumn 2015</p> <p>December 2015</p>
Measure of Success: Standing item on Researcher Development Working Group.					

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	Clause	Evidence for current compliance	Action Required	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>All staff complete a mandatory online induction complemented by a welcome event and local induction. Checklists are available for line managers to use during local inductions.</p> <p>All staff participate in appraisal and research planning is a core element of this for academic staff.</p> <p>RDCS work closely with faculties and continue to meet with Directors of Research twice a year to discuss the research environment and support for researchers.</p> <p>We continue to provide our 'UK Research Development Fund', which gives researchers up to £500 to go to a conference or other research event, or hold one of their own. The aim here is for researchers to enhance their professional development, network and meet other researchers. Alongside this the 'Early Career Research Staff Training Bursary' aims to develop professional skills and expertise. Funding may be applied for to achieve an identified career goal by, for example, attendance at events associated with career and professional development.</p>	<p>Monitor the extent to which staff find induction useful via CROS 2015. Repeat and review with CROS 2017.</p> <p>Research Committee will receive a narrative report in relation to research planning in appraisal at their January 2016 meeting</p> <p>See action under 2.6 to review Early Career Research Staff Training Bursary.</p>	<p>RDCS</p> <p>HRS</p> <p>HRS</p>	<p>Autumn 2015 and Autumn 2017</p> <p>January 2016</p> <p>December 2015</p>
Measure of Success: 30% of research staff make use of UK Research Development Fund					

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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 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. An Epigeum course on Professional Skill for Research Leaders has been developed and delivered.</p> <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>Review training records process to ensure that all training and development (including activities run by RDCS) are recorded on individual staff records on HR database.</p> <p>Review CROS, staff survey and appraisal outcomes to ensure any identified training needs are addressed.</p> <p>Add a training & development section to new RDCS webpages and establish how these will be kept up to date.</p>	<p>RDCS / HRS</p> <p>HRS / RDCS</p> <p>RDCS</p>	<p>Spring 2016</p> <p>December 2015</p> <p>Summer 2016</p>
Measure of Success: RDCS web pages detailing training and development for research staff created. Review appropriateness and usage by our researchers through the Researcher Forum.					

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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>Feedback from CROS 2013 identified that researchers are encouraged to engage in personal and career development. All staff participate in appraisal and researchers will complete a research plan as an integrated part of this process. From 2015 appraisal will be fully online making ongoing monitoring of progress with objectives easier.</p> <p>All academic staff have a mentor as part of our probation process.</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>Continue to ensure that research managers are aware of their responsibilities under the Concordat (by communication, briefing sessions etc).</p> <p>Monitor completion of research plans during appraisal.</p> <p>Monitor provision of a mentor through probation process.</p> <p>Monitor the number of researchers who apply for regrading and compare their annual success rate with other academic members of staff</p>	<p>RDCS</p> <p>Deans / HRS</p> <p>Deans / HRS</p> <p>HRS</p>	<p>Annual email reminder every autumn</p> <p>Annually in autumn</p> <p>Annually in autumn</p> <p>Annually in autumn</p>
Measure of Success: Success rate of researchers applying for regrading is comparable with other academic members of staff					

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3.9	<p>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>	<p>Our appraisal scheme encourages all staff to participate in CPD activities. A range of development activities are available to our staff and promoted regularly.</p> <p>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.</p> <p>Mandatory training is monitored as part of our probation process and staff / line managers are encouraged to think about future development requirements.</p> <p>The number of days of development undertaken by staff is monitored through our appraisal process.</p>	<p>Continue to review the appraisal scheme regularly via the Appraisal Working Group.</p> <p>Monitor CPD undertaken by staff through the appraisal process.</p>	<p>HRS</p> <p>HRS</p>	<p>Annually in autumn</p> <p>Annually in autumn</p>
<p>Measure of Success: CROS 2015 will give data about areas in which research staff have undertaken or wish to undertake professional development activities. CROS 2017 will show that a larger proportion of our research staff have undertaken these activities.</p>					

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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	Evidence for current compliance	Action Required	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 and incorporates individual Research Plans. It ensures that honest and transparent advice is given. All staff must complete either appraiser or appraisee training as appropriate.</p> <p>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.</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>Continue to monitor completion of appraisal training through probation process.</p> <p>Participate in the Epigeum 'Impact' programme to develop tools to assess Epigeum usage. Review methods of promoting Epigeum programmes to increase uptake</p>	<p>HRS</p> <p>RDGS</p>	<p>Annually in autumn</p> <p>Summer 2016</p>
Measure of Success: 100% of researchers are appraised annually					

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	Clause	Evidence for current compliance	Action Required	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.	<p>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.</p> <p>We recognise CPD schemes from other employers and also credit prior learning.</p>	Use CROS 2015 to check that researchers are aware that they can use development opportunities when working on a fixed term contract.	RDCS	Summer 2015
Measure of Success: CROS 2015 demonstrates that researchers are aware that they can use development opportunities when working on a fixed term contract.					

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	Clause	Evidence for current compliance	Action Required	Responsibility	Timescale
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	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.	Monitor uptake through the Researcher Development Working Group.	HRS / Heads of Academic Departments / Directors of Research Institutes	Annually in Autumn
Measure of Success: A majority of respondents to CROS 2015 indicate they have undertaken CPD in respect of teaching or lecturing.					
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.	Researcher representatives are present on university committees. This varies according to the constitution of the committees and sub-committees as specified in their respective Terms of Reference.	Investigate researcher representatives on Faculty Boards and look at ways to increase this.	RDCS / Academic Office	December 2015
Measure of Success: All Faculty Boards have a researcher representative					
4.5 (14)	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	We have a range of mentoring opportunities available, particularly during probation where this is a key component.	Consider implementation of further mentoring schemes.	HRS	Spring 2016
Measure of Success: HRS to report on options available and assess necessity for further mentoring schemes as applied to researchers which will be adopted if appropriate by Spring 2016.					

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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	Evidence for current compliance	Action Required	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>Our work shadowing scheme is available to all staff.</p> <p>Our Sabbatical Scheme guidance encourages applications from ECRs.</p> <p>Annual research conferences e.g. Research Student Conference and staff Research Conference. Faculties also run their own conferences.</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>Work shadowing take up is very low for academic staff in comparison with support staff. Consider ways to promote more actively to reach a community who may not have thought about it</p> <p>Review arrangements for the Research Supervisor Conference.</p> <p>Consider running a new Innovation Conference and / or an annual REF-related event</p>	<p>HRS/RDCS</p> <p>RDCS</p> <p>RDCS</p>	<p>December 2016</p> <p>Summer 2015</p> <p>Autumn 2015</p>
Measure of Success: 1. Increase proportion of research staff engaged in work shadowing scheme to 30% 2. Innovation Conference becomes an annual event.					

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	Clause	Evidence for current compliance	Action Required	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>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>The Intellectual Property (IP) Subcommittee meets on an ad hoc basis. IP guidelines and training are available to researchers.</p>	<p>Form Knowledge Transfer and Innovation Committees</p> <p>Monitor faculties for areas of good practice which are then shared and transferred with assistance of DoRs.</p>	<p>RDCS</p> <p>RDCS /Directors of Research</p>	<p>Spring 2016</p> <p>Twice yearly meetings of Directors of Research</p>
Measure of Success: Epigeum 'Impact' programme for Research Skills joined					

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	Clause	Evidence for current compliance	Action Required	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.</p> <p>Information on The Concordat to Support Research Integrity is provided to all our research staff and is available at our Corporate Induction event. Research Ethics and Integrity training is available for all staff including an online provision. (see http://www.anglia.ac.uk/researchtraining)</p> <p>Researchers are encouraged to upload their publications in our institutional repository for research, ARRO ('Anglia Ruskin Research Online').</p>	<p>Update procedure on allegations of misconduct in research in the light of best practice elsewhere.</p> <p>Provide training for research staff in output deposit, data management and storage (in an open-access repository)</p>	<p>RDCS</p> <p>RDCS</p>	<p>Autumn 2015</p> <p>April 2016</p>
<p>Measure of Success:</p> <ol style="list-style-type: none"> Updated Procedure for the Investigation of Allegations of Misconduct in Research published by Autumn 2015. All researchers deposit their outputs in ARRO within three months of the date of acceptance as of 1 April 2016 					
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>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.</p> <p>Our Job Families Booklet clearly sets out expectations at each grade.</p>	Ensure that researchers are aware of the Researcher Development Framework.	Directors of Research	December 2015
<p>Measure of Success: Assess the extent to which staff use the RDF to support their professional development activity as demonstrated in CROS 2017 using a baseline to be determined by CROS 2015 (closes 31 May 2015).</p>					

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	Clause	Evidence for current compliance	Action Required	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 CROS 2013 it is evident that most respondents have a career development plan in place. This begins during probation and is developed / monitored through the appraisal cycle.</p> <p>Researchers are encouraged to take ownership of their own career development and are made aware of all the development opportunities that are available. We have a link on our website to the Concordat briefings including the briefing for managers of researchers http://web.anglia.ac.uk/anet/rdcs/research/concordat.phtml</p>	Identify and support any staff who do not have a development plan in place.	Faculty Directors of Research / managers of researchers	Annually through appraisal cycle which runs from April to July each year
Measure of Success: All research staff have a development plan in place by 2017					
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.	Career development is discussed regularly and CPD is recorded as part of the annual appraisal process.	Monitor use of the Researcher Development Framework through CROS 2015	RDCS	Summer 2015
Measure of Success: Assess the extent to which staff use the RDF to support their professional development activity as demonstrated in CROS 2017 using a baseline to be determined by CROS 2015 (closes 31 May 2015).					

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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	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 comply with the Equality Act and have published equality objectives until 2016 as part of an action plan.</p> <p>We are a double-tick Positive about Disabled People (JIGS) employer, members of Inclusive Employers and were the first university to join Stonewall's Diversity Champions programme.</p>	Monitor researchers' views on our commitment to equality & diversity through CROS 2015.	RDCS	Summer 2015
Measure of Success: All respondents to CROS 2015 indicate that our institution is committed to equality and diversity.					

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	Clause	Evidence for current compliance	Action Required	Responsibility	Timescale
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>All staff are required to undertake equality & diversity training during probation.</p> <p>We were awarded an institutional Athena SWAN Bronze Award in Spring 2015.</p>	Progress applications for Athena SWAN departmental awards.	Athena SWAN Working Group	Reviewed throughout the year at quarterly meetings of the Athena SWAN Working Group
Measure of Success: At least one department developing an application for Athena SWAN departmental awards during 2016 with a view to having submitted the application by November 2017.					

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	Clause	Evidence for current compliance	Action Required	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.	<p>We vigorously complied with the REF arrangements to consider special circumstances.</p> <p>We have Dignity at Work & Study and Grievance Procedures in place which all staff can access if necessary.</p>	<p>Review the principles of the REF regarding staff circumstances and ensure they are applied to our researcher support, where appropriate.</p> <p>Continue to monitor researcher experience in relation to equality of treatment through CROS.</p>	<p>HRS</p> <p>RDCS/HRS</p>	<p>Autumn 2015</p> <p>Biennial</p>
Measure of Success: By summer 2016 a revised process involving the principles of the REF regarding staff circumstances will have been successfully implemented.					

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	Clause	Evidence for current compliance	Action Required	Responsibility	Timescale
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 fully embedded Flexible Working Policy. The guidance was reviewed in Spring 2015 to make it more user friendly.</p> <p>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.</p>	Review Staff Survey results, report these to CMT and formulate action plans to address identified areas for improvement	HRS / Deans & Directors	Summer 2015
Measure of Success: CROS 2015 demonstrates that a majority of respondents believe they are equally treated in comparison to other types of staff in relation to requests for flexible working.					

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	Clause	Evidence for current compliance	Action Required	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.	Flexible working applications from all staff are considered fairly and based on the merits of each case.	Regularly review our flexible working process in the light of changes in legislation and best practice	HRS	Annually in autumn
Measure of Success: CROS 2015 demonstrates that a majority of respondents believe they are equally treated in comparison to other types of staff in relation to requests for flexible working					
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.	<p>All our policies are regularly reviewed and amended in light of changes to legislation e.g. we have recently introduced guidance on shared parental leave.</p> <p>Enhanced pay arrangements are in place for maternity, paternity and shared parental leave for all eligible staff.</p>	Regularly review policies and funding arrangements	HRS / RDCS	Annually in autumn
Measure of Success: All staff policies are fully compliant with the latest legislative requirements.					

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	Clause	Evidence for current compliance	Action Required	Responsibility	Timescale
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 specifically relate to senior managers and professors, see http://web.anglia.ac.uk/equalops/</p> <p>Our annual report sets out progress against the targets and is reviewed by the Equality and Diversity Group, CMT and at Board level.</p> <p>Recruitment panels are constructed to achieve equality and diversity balance at the recruitment stage</p>	Continue to monitor progress against our targets	HRS / Equality & Diversity Group / CMT	Annually in autumn
Measure of Success: Achieve at least 40% female representation on Faculty Sub-Committees by April 2017.					

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	Clause	Evidence for current compliance	Action Required	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	Individual circumstances are taken into account when considering requests for flexible working. All staff can make an application to work flexibly.	Regularly review policies	HRS	Annually in autumn
Measure of Success: CROS 2015 demonstrates that a majority of respondents believe they are equally treated in comparison to other types of staff in relation to requests for flexible working					

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	Clause	Evidence for current compliance	Action Required	Responsibility	Timescale
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.	Our Dignity at Work & Study Policy and Grievance are available on HR Online and can be used to raise any concerns. These are reviewed on a regular basis.	Monitor concerns in relation to discrimination, bullying and harassment through Staff Survey and CROS.	HRS / RDCS	Biennial
Measure of Success: Biennial staff surveys (2015 and 2017) do not reveal any cause for concern in respect of discrimination, bullying or harassment.					
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 were awarded an institutional Athena SWAN Bronze Award in April 2015.	Progress departmental award applications. Monitor progress against our Athena SWAN action plan.	Athena SWAN Working Group Athena SWAN Working Group	Reviewed throughout the year at quarterly meetings of the Athena SWAN Working Group
Measure of Success: At least one department developing an application for Athena SWAN departmental awards during 2016 with a view to having submitted the application by November 2017.					

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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
ECR	Early Career Researcher
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