

## Action Plan to Support the Implementation of 'The Concordat to Support the Career Development of Researchers'

### A: RECRUITMENT AND SELECTION

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

	Clause and evidence for current compliance	Achieved (A) Requires Action (R) Ongoing (O)	Lead Responsible	Timescale
1.1	<p><i>All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</i></p> <p>Action:</p> <p>1.1.1 The underpins the University's Research Strategy as outlined in the Corporate Plan 2012-16, section 2 'Research with Impact'.</p>	A	PVC for Research, Enterprise & Engagement	Completed
1.2	<p><i>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.</i></p> <p>Action:</p> <p>1.2.1 HR provides support and guidance to all managers and has published clear guidelines on Recruitment &amp; Selection including Equal Opportunities in employment.</p> <p>1.2.2 Vacancy information and person specifications clearly identify the essential and desirable criteria required for Research and Analogous roles including specialist research skills, transferable skills and personal attributes.</p> <p>1.2.3 Diversity profile of researchers recruited to the University will be monitored as part of Athena SWAN.</p>	<p>A</p> <p>A</p> <p>R</p>	<p>HR</p> <p>HR</p> <p>Equality &amp; Diversity</p>	<p>Completed</p> <p>Completed</p> <p>April 2013</p>

			Manager	
1.3	<p><i>Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</i></p> <p>Action:</p> <p>1.3.1 The University adheres to the Fixed Term Employment Regulations 2002. Consultation has taken place with departments employing large numbers of researchers with a view to ascertaining appropriate procedures. HR to keep under review the number and reasons for use of fixed-term contracts for Research staff.</p>	O	HR	Dec 2013
1.4	<p><i>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.</i></p> <p>Actions:</p> <p>1.4.1 The University's Equal Opportunities Code of Practice states that wherever possible membership of recruitment panels should include both genders and reflect the diversity of candidates.</p> <p>1.4.2 It is University policy for all those involved in recruitment panels, including all managers recruiting research staff, to have received appropriate Recruitment and Selection training. This process is monitored to ensure training is refreshed every two years.</p> <p>1.4.3 Feedback is available to interview candidates via the Chair of the interview panel. All those who wish to receive feedback are able to do so.</p> <p>1.4.4 The University Recruitment &amp; Selection guidelines include guidance on appointment of named researchers on research funding applications. HR managers consult with the Schools to ensure these guidelines are adhered to.</p>	<p>A</p> <p>A</p> <p>O</p> <p>A</p>	<p>HR</p> <p>HR</p> <p>RSWG</p> <p>HR with Heads of School</p>	<p>Completed</p> <p>Completed</p> <p>March 2013</p> <p>Completed</p>
1.5	<p><i>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 organisation.</i></p> <p>Action:</p> <p>1.5.1 The HERA framework demonstrates compliance.</p>	A	HR	Completed

## 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 and evidence for current compliance	Achieved (A) Requires Action (R)	Lead / Responsible	Timescale
2.1	<i>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</i>			

	<p><i>employment contracts. This approach should be embedded throughout all departmental structures and systems.</i></p> <p>Actions:</p> <p>2.1.1 The University's policies and procedures support the embedding of these principles.</p> <p>2.1.2 The University's Corporate Plan indicates its commitment to excellence in research and the appointment and development of excellent research staff within the strands of the corporate plan relating to research and people.</p> <p>2.1.3 The University has devised and implemented its own Code for Research Staff in consultation with research staff representatives which echoes the Concordat principles on Recognition and Value. This Code is reviewed annually.</p> <p>2.1.4 The Code for Research Staff contains university-wide guidelines for induction of research staff, including induction to the role, department and institution. These guidelines can be adapted at School level. More work needs to be done to monitor induction procedures, identify 'Best Practice' induction and to review the guidelines accordingly.</p> <p>2.1.5 All Research Staff are offered the opportunity for an annual appraisal. The University will review the appraisal and performance review process for research staff whose contract is less than a year. PIs should ensure that appraisals are effective and address work practices, problem solving and a career development review.</p> <p>2.1.6 Need to raise awareness amongst PIs of the Concordat's commitment to the provision of training and development opportunities. A programme of short courses is being developed aimed at raising PI awareness of issues relating to the management of RS. The Vitae Concordat briefings for Research Managers (<a href="http://www.vitae.ac.uk/CMS/files/upload/Vitae_brief_Managers%20of%20researchers.pdf">http://www.vitae.ac.uk/CMS/files/upload/Vitae_brief_Managers%20of%20researchers.pdf</a>) will be used as supporting material.</p> <p>2.1.7 Training and development opportunities are provided for Research Staff, both as access to general courses and specific courses and career advice. Further analysis of take-up of these opportunities may be required to enable appropriate targeting and awareness of the opportunities available to both Researchers and PI's.</p> <p>2.1.8 An event, 'Researcher Day', publically acknowledging the important and valued contribution that research staff make to the University's outputs and working environment will be organised.</p> <p>2.1.9 The University will establish an 'Excellent Researcher Awards' scheme, recognising outstanding contribution to all aspects of the RS role including research output, administration and public engagement activity.</p> <p>2.1.10 Faculties will be required to review and update relevant policies and procedures to promote formal recognition of the role of RS in external research funding applications and in producing research outputs.</p> <p>2.1.11 Faculties will take steps to ensure that RS are recognised and valued as equal partners alongside permanent staff in the research endeavour and encouraged to engage in wider academic and collegiate activities e.g. research seminars, research meetings, relevant staff meetings, and appropriate managerial and supervisory activities.</p>	A R O R R R O R R R R	All ET RSWG RSWG HR /PIs RSWG CSED CSED/CCEN RSWG RSWG Faculties /REN Faculties	Completed 2012-16 Dec 2012 March 2013 July 2013 Nov 2012- May 2013 2012-13 and annually thereafter Oct -Nov 2012 Dec 2013 Sept 2013 July 2013
2.2	<p><i>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-</i></p>			

	<p><i>term contracts will provide benefits for researchers, research managers, and their organisations.</i></p> <p>Action:</p> <p>2.2.1 This is HR policy and is adopted throughout the University.</p>	A	HR	Completed
2.3	<p><i>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.</i></p> <p>Actions:</p> <p>2.3.1. Research Staff Coordinators (members of staff with a high level of interest in research staff issues) have been appointed in all Schools (or Faculties, where numbers do not support a School-only appointment) to facilitate the induction and support for research staff and to disseminate information regarding management processes for Research Staff to PI's within the School. Training and information has been made available to these individuals.</p> <p>2.3.2 The University will develop and implement a code of practice for those managing research staff.</p> <p>2.3.3 As recommended in the University's Corporate Plan 2012-16 a programme of leadership training is being developed for aspiring and existing research managers. In addition a Continuing Professional Development (CPD) framework will be put in place to ensure PIs undertake a minimum of one relevant CPD activity per annum. The University will have to consider how attendance on these programmes will be monitored.</p> <p>2.3.4 The programme of short courses being developed to raise PI awareness of issues relating to the management of RS will include issues around induction and equality and diversity training (with reference to the HEFCE/Vitae 'Every Researcher Counts' project). As part of this programme PIs will be encouraged to discuss and manage the professional development of researchers as part of formal appraisal meetings.</p> <p>2.3.5 PIs should ensure that research staff have the opportunity and are encouraged to participate in effective appraisal, which addresses work practices, problem solving and career development review.</p> <p>2.3.6 Review training for Academic staff responsible for postgraduate research students. PGR supervisors are required to attend the 'Managing Postgraduate Student issues' course. This training should be refreshed every two years.</p> <p>2.3.7 Information and advice for Research Managers / PIs, including the management and career development of Research staff is available on the University's RSConnect web-portal.</p>	<p>O</p> <p>R</p> <p>R</p> <p>R</p> <p>R</p> <p>R</p> <p>A</p>	<p>RSWG to monitor</p> <p>RSWG / ET</p> <p>ET/ CSED</p> <p>RSWG/ Equality &amp; Diversity Manager/CSED</p> <p>PIs / HR</p> <p>PPE</p> <p>CSED</p>	<p>July 2013</p> <p>July 2013</p> <p>Oct-Nov 2012</p> <p>Nov 2012- May 2013</p> <p>July 2013</p> <p>June 2013</p> <p>Completed</p>
2.4	<p><i>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.</i></p> <p>Actions:</p> <p>2.4.1 All those approaching the end of a fixed-term contract have the opportunity to sign up to</p>	A	HR	Completed

	<p>the University's Redeployment Register</p> <p>2.4.2 Researchers whose funding does not immediately follow on from their existing employment might be offered alternative casual or associate tutor work, where the need for such work exists, which will allow continuity of employment to be preserved.</p> <p>2.4.3 Provide information and where appropriate face to face guidance to researchers on what happens at the end of contracts, so that their career expectations are realistic from the beginning of their contracts.</p>	A	Schools & Faculties	Completed
		O	HR / Research Managers	April 2013
2.5	<p><i>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.</i></p> <p>Actions:</p> <p>2.5.1 Pay progression is applied in accordance with the local implementation of the Framework Agreement</p> <p>2.5.2 Clear guidelines on Promotions Procedures and Criteria for researchers are published on the University website.</p>	A	HR	Completed
		A	HR	Completed
2.6	<p><i>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.</i></p> <p>Actions:</p> <p>2.6.1 All research staff are informed of the opportunities for promotion through the University's agreed promotion processes for this group of staff, and have the opportunity to apply for promotion or additional pay progression within and above the incremental scales.</p> <p>2.6.2 Job opportunities are advertised in open competition, either internally or externally, for which any suitably qualified individual may apply.</p> <p>2.6.3 Career guidance is available from within the University's Careers &amp; Employability service, with individual assistance and group sessions available.</p>	A	HR	Completed
		A	HR	Completed
		A	CCEN	Completed

## 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 and evidence for current compliance	Achieved (A) Requires Action (R)	Lead responsible	Timescale
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		Ongoing (O)		
3.1	<p><i>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.</i></p> <p>Actions:</p> <p>3.1.1 The UEA was an early adopter of equal terms and conditions for its fixed-term staff and of moving individuals to indefinite contracts (in advance of the 2002 regulations).</p> <p>3.1.2 The UEA adopts an approach of allowing individuals to develop not just for the purposes of the project but for personal and career development, by both providing training courses specific to researchers and allowing them to attend any open access training course. However, we need to encourage researchers still further to take up training and development opportunities.</p> <p>3.1.3 A broad range of career and personal development training courses is offered by the University and these are regularly reviewed in terms of content and relevance.</p> <p>3.1.4. The Careers and Employability Service and Centre for Staff Education and Development have designated contacts for research staff. Both services continually review how to improve engagement with research staff.</p> <p>3.1.5 Research Staff are asked to complete a destinations questionnaire as part of the exit procedure. This information is held by the Careers &amp; Employability service. The service needs to consider how to use this information to inform careers support and training provision for research staff.</p>	<p>A</p> <p>R</p> <p>O</p> <p>A</p> <p>O</p>	<p>HR</p> <p>CSED / Pls</p> <p>RS Skills Grp</p> <p>CCEN/CSED</p> <p>CCEN/CSED</p>	<p>Completed</p> <p>Nov 2012- May 2013</p> <p>April-June 2013</p> <p>Completed</p> <p>Oct 2013</p>
3.2	<p><i>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.</i></p> <p>Actions:</p> <p>3.2.1 UEA monitors the specific destinations of its researchers, in addition to the monitoring required by HESA. The collected data demonstrate a mix of career paths being adopted by those leaving UEA.</p> <p>3.2.2 Those who wish to seek further appointments at UEA are encouraged to apply for appropriate vacant posts, and the University operates a redeployment register to assist those approaching the end of a fixed-term contract in achieving an interview for a vacant post applied for.</p> <p>3.2.3 UEA operates a "three strand" career path, within which transfer between Academic, Teaching and Research (ATR); Academic Teaching and Scholarship (ATS); and Research is possible.</p> <p>3.2.4 The Careers and Employability service has dedicated Careers Advisors for Research Staff, providing impartial, confidential advice and guidance on all career paths open to researchers, including the application processes within and outside academia.</p>	<p>A</p> <p>A</p> <p>A</p> <p>A</p>	<p>HR/CCEN</p> <p>HR</p> <p>ET</p> <p>CCEN</p>	<p>Completed</p> <p>Completed</p> <p>Completed</p> <p>Completed</p>
3.3	<i>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</i>			

	<p><i>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.</i></p> <p><i>Actions:</i></p> <p>3.3.1 UEA is committed to supporting the training and career development of all researchers. The Centre for Staff and Educational Development provides comprehensive training on all aspects of personal and professional development through its 'RSConnect' programme. The programme is guided by the University's Research Staff Skills Development Steering Group and is mapped against the Researcher Development Framework. Training and development opportunities (both internal and external) for researchers are communicated and promoted to researchers centrally, via School / Faculty Research Staff Co-ordinators, through a monthly E-Bulletin and through individual email accounts. In response to direct requests from researchers, data from the Careers in Research Online Survey (CROS) 2009, the Wilson review and the UEA's Corporate plan 2012-16 we have increased provision in Business skills and Leadership skills, and are now focusing on providing training in different formats to suit the needs of our diverse researcher population.</p> <p>3.3.2 Where funds allow Faculties support individual training requests from research staff</p> <p>3.3.3 The University provides a "RSConnections" website as a one-stop shop for information specific to its Research Staff.</p> <p>3.3.4 The University may wish to consider a "per annum recommendation" of engagement with Personal and Professional Development (PPD), to ensure that training is planned within the project duration. For Research Council Funded RS this would recognise the financial commitment of funders to the training and development of RS (i.e. £200 included in indirect costs of research grants).</p>	<p>O</p> <p>O</p> <p>A</p> <p>R</p>	<p>CSED / CCEN</p> <p>Faculties</p> <p>CSED</p> <p>RSWG</p>	<p>New programme available start each academic year</p> <p>Oct-Nov 2012</p> <p>Completed</p> <p>Sept 2013</p>
3.4	<p><i>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.</i></p> <p><i>Actions:</i></p> <p>3.4.1 The UEA Careers and Employability service has dedicated Careers Advisors for Researchers, providing impartial, confidential advice and guidance on all career paths, both within and outside academia.</p> <p>3.4.2 Career Development workshops for Research Staff are scheduled through the RSConnect programme. 'Bite-size' lunchtime sessions are offered as it allows increased flexibility for attendance.</p> <p>3.4.3 Research Staff have the opportunity to attend employer events &amp; workshops organised specifically for researchers (e.g. Business Skills programme includes a series of "Employer Days" to gain insight into careers outside academia), as well as the University's main careers fair.</p> <p>3.4.4 The Careers and Employability web page has a dedicated 'Researcher' section.</p> <p>3.4.5 Career management support available to researchers is promoted as part of the induction of new research staff (through induction briefings, on-line material, and a guide included in a 'Welcome' pack), and through monthly 'New Directions' careers bulletins for researchers.</p>	<p>A</p> <p>O</p> <p>O</p> <p>A</p> <p>O</p>	<p>CCEN</p> <p>CCEN/CSED</p> <p>CCEN</p> <p>CCEN</p> <p>CCEN/CSED</p>	<p>Completed</p> <p>Oct 2012-June 2013</p> <p>Sept 2012-June 2013</p> <p>Completed</p> <p>Sept 2012-June 2013</p>

	<p>3.4.6 As part of the proposed PI awareness sessions (see 2.3.4) we will encourage line managers / Pls to refer their research staff to the available central careers support where appropriate.</p> <p>3.4.7 Opportunities exist for Research Staff to engage in teaching of undergraduate and postgraduate students, but it is not possible to guarantee such opportunities. All staff who teach will be strongly encouraged to gain an accredited and transferable teaching qualification.</p>	R	RSWG/ CCEN/CSED	Nov 2012-May 2013
		O	Schools / CSED	Effective from Oct-Nov 2012
3.5	<p><i>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.</i></p> <p><i>Actions:</i></p> <p>3.5.1 The UEA's promotion and reward strategies are widely available and these opportunities are further publicised within Schools as part of the promotion and review process.</p> <p>3.5.2 The Researcher Development Framework is used to influence the provision of career development training and support. However, further work needs to be done to engage Research Staff with the RDF and the on-line personal development planner.</p> <p>3.5.3 All UEA staff are included within the Appraisal Scheme, which takes place on at least an annual basis for research staff. Appraisal training for managers of RS specifically includes directions to ensure that RS Career development is included in appraisal conversations. Monitoring of RS appraisal is required to ensure the guidelines are being implemented.</p> <p>3.5.4 There are career paths within UEA that enable individuals to become an indefinite researcher in support of particular areas of research.</p>	A	HR	Completed
		O	CSED/CCEN	Sept 2013
		O	RSWG/HR/ Schools	July 2013
		A	Schools	Completed
3.6	<p><i>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.</i></p> <p><i>Actions:</i></p> <p>3.6.1 All researchers are invited to attend the University's Introductory Conference.</p> <p>3.6.2 The UEA has appointed and provided training to Research Staff Coordinators (RSCs) in Schools and Faculties (as appropriate to the number of research staff). The RSCs coordinate School specific induction and respond to local enquiries from Research Staff, referring queries to others if appropriate.</p> <p>3.6.3 The University is developing Best Practice induction guidelines which can be adapted at school or departmental level.</p> <p>3.6.4 CSED offers one to one inductions to RS regarding training and development opportunities and the support available to RS at the University. This information will be available on-line via the RSConnect website.</p> <p>3.6.5 All researchers are given information relevant to their appointment as part of their offer of employment.</p> <p>3.6.6 The University advocates a planned induction within its Recruitment and Selection training as being an effective way to engage and retain staff.</p> <p>3.6.7 The new series of PI awareness sessions will include guidelines on induction of RS.</p>	A	CSED	Completed
		A	Heads of School/ RSCs	Completed
		R	RSWG	Dec 2012
		O	CSED	Sept 2012
		A	HR	Completed
		A	HR/CSED	Completed
		R	CSED	Nov2012-May2013



3.7	<p><i>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.</i></p> <p>Action:</p> <p>3.7.1 Formal career guidance and training is provided as described above, and opportunities for attaining new skills are discussed as part of appraisal (see 3.5.3)</p> <p>3.7.2 Researchers engagement in professional development remains quite low compared with the engagement of other staff groups. The PI awareness sessions will aim to help PIs recognise their role in encouraging engagement.</p> <p>3.7.3 Faculties will take steps to ensure that RS are recognised and valued as partners alongside permanent staff in the research endeavour and encouraged to engage in wider academic and collegiate activities e.g. research seminars, research meetings, relevant staff meetings, and appropriate managerial and supervisory activities.</p>	O  O  R	CCEN / PIs  CSED  Faculties	July 2013  Nov 2012-May2013  July 2013
3.8	<p><i>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.</i></p> <p>Action:</p> <p>3.8.1 In line with the University's new Corporate Plan 2012-16 mentoring schemes for RS are being established at School level. CSED will provide appropriate mentor training sessions.</p> <p>3.8.2 There is a coaching network available to all staff.</p> <p>3.8.3 Following on from the results of CROS 2009, the RS Skills Development Steering Group regularly seeks feedback on the courses and skills sought by researchers, and training provision is reviewed accordingly.</p> <p>3.8.4 School notice boards are utilised to publicise further opportunities for skill and career development</p> <p>3.8.5 UEA is part of the wider Norwich Research Park and has supported the implementation of "ResNET" (<a href="http://www.uea.ac.uk/resnet">http://www.uea.ac.uk/resnet</a>), a contact, support and information network for women working in research or supporting research in the NRP.</p> <p>3.8.6 In larger Schools, research staff fora meet regularly to raise and tackle issues around career development and provide additional networking opportunities. Where a forum does not currently exist Research Staff Co-ordinators are trying to encourage regular, informal meetings between researchers in schools / departments.</p>	R A  O  A  A  O	Schools /CSED CSED  RS Skills Grp  Schools  CSED/VCO  RSCs	April 2013 Completed  April-June 2013  Completed  Completed  Sept 2012 – June 2013
3.9	<p><i>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.</i></p> <p>Action:</p>			

	<p>3.9.1 The University has a "Code for Researchers" which clarifies individual responsibilities in this regard, in addition to the University provisions. The Code is currently being reviewed.</p> <p>3.9.2 In line with RCUK guidelines PIs are encouraged to include at least £200 p.a. (in indirect costs) for the training and development of research staff employed on a research grant.</p> <p>3.9.3 As part of the PI awareness sessions the importance of Research Staff CPD will be highlighted.</p>	O R R	RSWG REN / PIs CSED	Dec 2013 July 2013 Nov 2012- May 2013
3.10	<p><i>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.</i></p> <p>Actions:</p> <p>3.10.1 All UEA staff are included within the Appraisal Scheme, which takes place on at least an annual basis for research staff. Appraisal training for managers of RS specifically includes directions to ensure RS Career development is included in appraisal conversations. Monitoring of RS appraisal is required to ensure the guidelines are being implemented.</p> <p>3.10.2 Provide training for PIs on having difficult conversations e.g. on career prospects, chances of getting an academic post etc. This could be part of the PI awareness sessions.</p> <p>3.10.3 Careers Advisors for researchers provide one to one guidance sessions during which RS can explore career options and are encouraged to take responsibility for their own career management.</p>	O R A	RSWG/ HR/ Schools HR/CSED CCEN	July 2013 Nov 2012- May 2013 Completed
3.11	<p><i>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.</i></p> <p>Action:</p> <p>3.11.1 UEA maps all training provision for researchers against the Researcher Development Framework.</p> <p>3.11.2 Researchers can obtain a certificate of CPD engagement recording the number of hours and nature of training completed.</p> <p>3.11.3 Opportunities exist for teaching delivery in some areas, but it is not possible to guarantee such opportunities. All staff who teach will be required to gain an accredited and transferable teaching qualification (Accreditation with HE Academy).</p> <p>3.11.4 As part of the CSED programme training courses are available to develop RS in their current and any future academic role (e.g. Leadership skills, Effective Research Applications, Managing successful research awards, Research governance and ethics, Enterprise, and Impact). This provision is reviewed annually, guided by the RS Skills Development Steering group, to ensure it is meeting RS need.</p> <p>3.11.5 Opportunities may exist for RS to be part of a PGR supervisory panel.</p>	A A O O A	CSED CSED Schools / CSED CSED / RS Skills Grp. Schools	Completed Completed Effective from Oct- Nov 2012 April – June 2013 Completed
3.12	<p><i>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.</i></p> <ul style="list-style-type: none"> <li>As 3.11.3</li> </ul>			

3.13	<p><i>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.</i></p> <p><i>Actions:</i></p> <p>3.13.1 In 2005 the University has established a Research Staff Working Group, which consists of research staff representatives, representation from the University's Research Executive and from HR, Research and Enterprise Services, Staff Development, Equality &amp; Diversity Office and Careers &amp; Employability Service. The group is chaired by the Pro-Vice Chancellor for Research, Enterprise and Engagement. The group actively inputs into policy and practice, reporting to the University's Executive Team (Vice Chancellor, Pro-Vice Chancellors and Registrar).</p> <p>3.13.2 The Research Staff Skills Development Steering Group is a sub-group of the RSWG and has been in place since 2007. The RS Skills Group aims to steer the training and development of RS at the University. It consists of research staff representatives from each faculty plus representatives from the central divisions involved in management and delivery of provision.</p> <p>3.13.3 Researchers are encouraged to provide representatives on School and University committees where this is appropriate. One of the responsibilities of RSCs is to help ensure 'fair representation' of research staff within the school (e.g. School Boards, committees, away days, performance discussions etc).</p>	A	RSWG	Completed
		A	RS Skills Grp	Completed
		O	RSCs	July 2013 and annually thereafter
3.14	<p><i>Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</i></p> <p><i>Action:</i></p> <p>3.14.1 In line with the University's new Corporate Plan 2012-16 mentoring schemes for RS are being established at school level. CSED will provide appropriate mentor training sessions.</p>	R	Schools / CSED	April 2013

#### 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 and evidence for current compliance	Achieved (A) Requires Action (A) Ongoing (O)	Lead Responsible	Timescale
5.1	<p><i>Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.</i></p> <p><i>Action:</i></p> <p>5.1.1 This is an underlying ethos of the University and is reflected in the Code of Practice for the Employment and Career Management of Research Staff and the University's new Corporate Plan 2012-6.</p>	O	RS / ET	2012-16
5.2	<i>Researchers should develop their ability to transfer and exploit knowledge where appropriate</i>			

	<p><i>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.</i></p> <p>Action</p> <p>5.2.1 The University's Research and Enterprise Services (REN) provide training and individual support in Impact, Consultancy, knowledge transfer and commercialisation of research. Research Staff need to be encouraged to engage more with the Impact agenda.</p> <p>5.2.2 Any member of staff including research staff may engage in consultancy with an external organisation. The University operates a Consultancy Register of Expertise to help facilitate contacts, and a managed consultancy service.</p> <p>5.2.3 The University's Admissions, Recruitment and Marketing Division provides support and training for public engagement and research impact within the context of RCUK's Pathways to Impact.</p>	O	RS / REN	Oct 2012-June 2013
		A	REN	Completed
		O	ARM	Oct 2012- June 2013
5.3	<p><i>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</i></p> <p>Action</p> <p>5.3.1 Responsibility for good research conduct at UEA rests with the Research Executive, chaired by the Pro-VC Research, Enterprise &amp; Engagement. Guidelines for good practice in research, research ethics and research governance are available on-line (<a href="http://www.uea.ac.uk/research/research_policies">http://www.uea.ac.uk/research/research_policies</a>).</p> <p>5.3.2 Training in Research Governance and Research Ethics is provided by the University's Research and Enterprise Services, through the CSED programme.</p>	A	Pro-VC Research / REN	Completed
		A	REN	Completed
5.4	<p><i>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.</i></p> <p>Action:</p> <p>5.4.1 Academic Role Profiles and Grade Criteria for the Promotion of Research Staff make this clear.</p> <p>5.4.2 The comprehensive training provision for Researchers is mapped against the Researcher Development Framework.</p> <p>5.4.3 Researchers need to be assisted to evaluate and record their skills and achievements, perhaps through more effective appraisal conversations around career development and professional guidance from Careers Advisors. Researchers could be encouraged to consider using the RDF Professional Development Planner as a mechanism for recording and evaluating professional development.</p>	A	HR	Completed
		A	CSED	Completed
		R	RS / CCEN / Pls	July 2013
5.5	<p><i>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.</i></p> <p>Actions:</p> <p>5.5.1 CSED provides information on training provision and promotes other internal and external development opportunities via the RSConnect website, monthly E-bulletin and direct email contact with Research Staff, but the emphasis is on RS to take the initiative.</p>	O	RS / CSED	Sept 2012-July 2013

	5.5.2 Women researchers have access to a contact, support and information network 'ResNet' ( <a href="http://www.uea.ac.uk/resnet">http://www.uea.ac.uk/resnet</a> ), which encourages a proactive approach to career development. 5.5.3 As part of the PI awareness sessions the importance of Research Staff CPD will be highlighted.	A	RS/CSED	Completed
		R	PIs	Nov 2012-May 2013
5.6	<i>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.</i> Action: 5.6.1 Appraisal training for managers of RS specifically includes directions to ensure RS Career development is included in appraisal conversations. Monitoring of RS appraisal is required to ensure that the University's guidelines are being implemented. Research Staff should be proactive and request an appraisal or additional career development conversations if this is not automatically offered by their manager. 5.6.2 Researchers can obtain a certificate of CPD engagement recording the number of hours and nature of training completed.	R	RS / PIs / HR	July 2013
		A	CSED	Completed

## E: DIVERSITY AND EQUALITY

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

	Clause and evidence for current compliance	Achieved (A) Requires Action (R) Ongoing (O)	Lead responsible	Timescale
6.1	<i>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.</i> Action: 6.1.1 In the 2009 CROS survey 98% of respondents believe the university is committed to equality and diversity. Overall respondents felt they were treated fairly on the basis of ethnicity, nationality, disability, sexual orientation, race or religion. However 11% of respondents felt they were unfairly treated on the basis of gender and age. Equal opportunity plans and monitoring are in place and embedded in all committees and University processes. To help address the gender equality issue the University is a member of the Athena SWAN charter and is currently putting in place specific schemes as part of its Bronze and Silver Award submissions.	R	Equality & Diversity Manager / HR / Heads of School	Bronze Award submission 2012 Silver submission April 2013.
6.2	<i>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</i>			

	<p><i>recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.</i></p> <p>Action:</p> <p>6.2.1 HR provides support and guidance to all managers and has published clear guidelines on Recruitment &amp; Selection including Equal Opportunities in employment.</p>	A	HR	Completed
6.3	<p><i>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.</i></p> <p>Action:</p> <p>6.3.1 The University is a member of the Athena SWAN charter and has made an institutional level submission for the Bronze award. It will work on its Bronze action plan July 2012-April 2013. This will be reviewed annually thereafter. Some individual SET Schools will apply for the Silver award.</p> <p>6.3.2 Women researchers have access to a contact, support and information network 'ResNet' (<a href="http://www.uea.ac.uk/resnet">http://www.uea.ac.uk/resnet</a>), which aims to increase confidence and raise aspirations of its members.</p>	R  A	Equality & Diversity Manager / HR  RS/CSED	April 2013  Completed
6.4	<p><i>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.</i></p> <p>Action:</p> <p>6.4.1 The University offers Family Friendly and Flexible Working arrangements for all staff.</p> <p>6.4.2 The University is reviewing how to best provide maternity mentoring support.</p> <p>6.4.3 Through the RSConnect training programme for research staff we are piloting the 'Managing your Academic Career: A one day career development programme for women' (<a href="http://www.vitae.ac.uk/CMS/files/upload/UKRC-%20Vitae-programme-flyer-Sept-2010.pdf.pdf">http://www.vitae.ac.uk/CMS/files/upload/UKRC-%20Vitae-programme-flyer-Sept-2010.pdf.pdf</a>). This will run again in 2013.</p> <p>6.4.4 This guidance underpins the University's Athena SWAN work.</p>	A R O  O	HR HR/ CSED CSED  Equality & Diversity Manager	Completed April 2013 June 2013  April 2013
6.5	<p><i>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</i></p> <p>Action:</p> <p>6.5.1 A flexible working policy has been implemented and promoted by the University.</p>	A	HR	Completed
6.6	<p><i>Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as</i></p>			

	maternity leave. No Actions identified			
6.7	<p><i>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.</i></p> <p>Action:</p> <p>6.7.1 HR provides support and guidance to all managers and has published clear guidelines on Recruitment &amp; Selection including Equal Opportunities in employment.</p> <p>6.7.2 As part of the University's Athena SWAN Bronze award action plan we will review whether our recruitment and selection policies are generating a balanced representation of all groups at all career levels. If this is not the case our recruitment policies will have to be reviewed.</p>	A  O	HR  Equality & Diversity Manager / HR	Completed  April 2013
6.8	<p><i>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</i></p> <p>Action:</p> <p>6.8.1 The Centre for Staff and Educational Development offer a range of courses to raise awareness of the spectrum of differences in personal circumstances.</p> <p>6.8.2 All training courses are designed and developed to take into consideration the personal circumstances of individuals who attend.</p> <p>6.8.3 Staff whose first language is not English are able to access English language training through INTO UEA.</p> <p>6.8.4 Specific information for international researchers new to the University is available on the RSConnect website.</p>	A  A A A	CSED  CSED INTO CSED	Completed  Completed Completed Completed
6.9	<p><i>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.</i></p> <p>Action:</p> <p>6.9.1 There are clear 'Guidelines for dealing with Harassment' on the HR web pages.</p> <p>6.9.2 The University offers a Harassment Adviser Network, providing advice for UEA staff who may be experiencing harassment or bullying, or who have been accused of it.</p> <p>6.9.3 All staff have access to a confidential counselling service.</p>	A A A	HR HR DOS	Completed Completed Completed
6.10	<p><i>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.</i></p> <p>Action:</p>			

	6.10.1 The University is a member of the Athena SWAN charter and has made an institutional level submission for the Bronze award. It will work on its Bronze action plan July 2012-April 2013. This will be reviewed annually thereafter. Some individual SET Schools will apply for the Silver award.	O	Equality & Diversity Manager	April 2013
<b>F: IMPLEMENTATION AND REVIEW</b>				
<b>Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.</b>				
	Clause and evidence for current compliance	Achieved (A) Requires Action (R) Ongoing (O)	Lead responsible	Timescale
7.1	<p><i>The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.</i></p> <p>Action:</p> <p>7.1.1 The Research Staff Working Group, chaired by the PVC-Research, Enterprise and Engagement is responsible for overseeing implementation of the Concordat's principles.</p> <p>7.1.2 Research Staff Co-ordinators produce an annual report that is submitted to the RSWG, outlining how the University's Code for Research Staff - and hence the Concordat principles - are being met within their School / Faculty over the reporting period.</p>	<p>O</p> <p>O</p>	<p>RSWG / PVC-R, E&amp;E</p> <p>RSC / RSWG</p>	<p>July 2013 &amp; July 2014</p> <p>July 2013 &amp; July 2014</p>
7.2	<p><i>The signatories agree:</i></p> <p><i>a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress.</i></p> <p><i>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</i></p> <p><i>c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</i></p> <p><i>d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).</i></p> <p><i>e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).</i></p> <p>Actions:</p> <p>7.2.1 The University will run Careers in Research Online Survey and Principal Investigators and Research Leaders Survey in spring 2013. An implementation plan for this, including analysis and reporting of results, will be developed. Data will be compared with the National</p>	R	RSWG	Spring / Summer 2013



	<p>aggregate response and against other 1994 group institutions. The University will provide feedback to research staff (both respondents and non-respondents) about the results and any subsequent actions.</p> <p>7.2.2 The University Concordat Action Plan 2012-14 will be used to underline all policies and procedures relating to research staff at UEA.</p>	R	RSWG	2012-14
7.3	<p><i>The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat.</i></p> <p>Action:</p> <p>7.3.1 Monitor the changing requirements of external stakeholders e.g. Research Councils to ensure we are aware of the requirements of their implementation plans</p>	O	REN	2012-14
7.4	<p><i>The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process.</i></p> <p>Action:</p> <p>7.4.1 Engage with other Higher Education Institutions to share good practice and promote the principles of the Concordat, e.g. through Vitae events.</p>	O	CSED	Sept 2012-Sept 2014
7.5	<p><i>Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.</i></p> <p>Action:</p> <p>5.5.1 HR and the Equality and Diversity Manager monitor equality and diversity indicators for researchers using data such as the HESA return and the Athena SWAN award action plan.</p>	O	HR / Equality & Diversity Manager	April 2013

### Key to Acronyms

ARM	Admissions, Recruitment & Marketing
CCEN	Careers & Employability Service
CSED	Centre for Staff and Educational Development
DOS	Dean of Students
ET	Executive Team
HR	Human Resources
PI	Principal Investigator (on a research project /grant)
PPE	PGR, Partnerships and Equality and Diversity with CRB
REN	Research and Enterprise services
RS	Research Staff
RSC	Research Staff Co-ordinator

RS Skills Grp	Research Staff Skills Development Steering Group
RSWG	Research Staff Working Group
VCO	Vice Chancellor's Office