Keele University Concordat Implementation Action Plan 2015 - 2017

Introduction

In order to retain our HR Excellence in Research Award (gained in November 2013) we are required to undertake a self-assessment at least every two years to assess progress against our Concordat Implementation Action Plan. This sets out the university's commitment to the implementation of the UK Concordat to Support the Career Development of Researchers - an agreement between the funders and employers of research staff in the UK to improve the employment and support for researchers.

This report accompanies our new Concordat Implementation Action Plan for 2015 – 2017 (Appendix 1) and our updated 2014-15 plan (Appendix 2). The report is designed to highlight key achievements and progress against the original action plan and outline the focus for the next two years. It also sets out how the internal evaluation was undertaken, including how researchers' views were taken into account during the review. The plan covers a period of intense importance for researcher support in the University. The Keele 2015-2020 Strategic Plan sets out the goal of the University to position itself as a world-leading research-led institute with a vibrant research culture: our commitment to the Concordat is a core part of developing and enabling the potential of our research staff.

How the internal evaluation was undertaken

The internal evaluation was undertaken and created via meetings and email correspondence between staff in the Learning and Professional Development Centre (LPDC), Human Resources, Research Support, the Athena SWAN Support Officer and others. The LPDC repeated the autumn 2013 researcher questionnaire that was originally undertaken in preparation for creating our November 2013 Concordat Implementation Action Plan. The questionnaire was distributed by email via the Research Institutes and Faculty Research Offices and the new staff-created PostDoc forum. We were pleased with an increase in engagement, with the 2015 questionnaire gaining 92 responses against the 61 received in 2013. The new action plan was shared with senior leaders before being approved by the 16 November 2015 University Research Committee.

Key achievements against the original action plan

Since our November 2013 Concordat Implementation Action Plan, research staff can access a broader range of transferable skills training and development through the Learning and Professional Development Centre (both face-to-face and online), including some courses aimed specifically at research staff (*Principle 3*). This includes revised versions of pre-existing courses such as *Broadening Horizons: Career Management for Research Staff* and new courses in areas such as: intellectual property; impact and engagement (Vitae's *Making Your Mark* and *Engaging Researcher* programmes); blogging for researchers; personal and professional development workshops introducing the Researcher Development Framework and Vitae resources; *Springboard* and *Aurora* development programmes for women staff; and writing for publication provision. Work has also been undertaken to make our Keele Knowledge induction programme for new staff more relevant to researchers, with a Research Ethics workshop running 3 times per year as part of the programme (*Principles 3 and 5)*. The LPDC has also been engaged in significant pieces of work around developing mentoring (*Principles 4 and 6)* and building capacity for and accessibility to leadership roles (*Principle 2*). The process of developing the Action Plans has focused attention on improving the range of courses, all of which now explicitly map to the Researcher Development Framework to facilitate a researcher's analysis of their training needs and identification of relevant opportunities for development (*Principle 3*).

A key focus for HR over the past year has been the implementation of revisions to the Staff Performance Review and Enhancement (SPRE), the University's appraisal process (*Principle 2*). The University requires all individuals to participate in SPRE and sets out that discussions should take place between January and 31 July. For 2015, 87.3% of SPREs were completed in this timeframe. The revisions are aimed at ensuring that SPRE reviewers provide clear, meaningful feedback that is helpful in enhancing the contribution of the individual, as well as assisting in their development. For researchers, the SPRE conversation should include reference to research plans and how these can be supported. A review of the effectiveness of the changes to SPRE will inform recommendations for further action/support to further embed SPRE into routine management practice. As part of the review HR and the LPDC have asked if the Researcher Development Framework is being used in development discussions.

With respect to recruitment and selection activity, HR ensure that all recruiting areas comply with the University's procedures which seek to ensure fair and robust recruitment decisions for all staff groups, including research staff (*Principle 1*). Training materials to support good practice are updated regularly and the diversity profile of applicants and successful candidates is monitored. The University also monitors the effectiveness of its recruitment procedures. For 2014/2015 84.6% of vacancies were filled first time; this represents an improvement on the previous year of 81.4%. The average time to recruit was 42.7 days compared with 53.3 days on average, within the sector. While no particular problems have been reported to HR in terms of attracting and retaining research staff, moving forward HR wish to review and improve upon the information that is available on the recruitment webpages for potential applicants.

The past year has seen some significant successes for the University in promoting its equality and diversity agenda (*Principle 6*), most notably the development of a new equality and diversity strategy 2015-2020, the delivery of a variety of events under the banner of Keele Unity, completion of the

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Stonewall Workplace Equality Index, progress against the Athena SWAN ambitions, and the delivery of a wide range of training and development opportunities.

The University has also recruited a full-time Research Support Librarian (November 2014) who provides advice, support and training specifically for research staff and students in a range of key areas including Open Access publishing and copyright (*Principle 3*). This is a strategic investment and will increase the support and development opportunities available for researchers at Keele.

Next steps

The new plan outlines significant pieces of work around targeted expansion of the central training and development available in response to data gained in the researcher survey; ensuring current provision is more accessible and relevant to researchers; improving induction for research staff; scoping the career support available in the sector to better improve our provision to staff; work around mentoring support; developing research cultures and research leadership; markedly increasing the writing support available; and reviewing personal and professional development resources and activity to increase relevance to research staff.

Through examining the results of the October 2015 researcher survey we can further develop our offer and support in areas that research staff have identified as a development need - for example, enlisting external providers to centrally deliver media training and a grants workshop. We will also be developing our Successfully Managing a Research Award course into an online learning pool course to increase its accessibility and relevance. In our action plan below, we commit to increase the number of research staff engaging with training and development opportunities offered through the Learning and Professional Development Centre by at least 15% between November 2015 and November 2017. The success of workshops, online training and other opportunities will also be measured by monitoring and responding to feedback received and comparing year-on-year attendance and engagement data. We currently do this with our postgraduate research student attendance at workshops and report anonymous data to University Postgraduate Research Committee, so we intend to do the same with data on research staff attendance and report forward to Research Committee. We have found this a useful process in developing our postgraduate researcher offer and it is likely to be of equal value in the development of our provision for research staff.

All activities listed below have review dates in place and the whole plan will be reviewed and new actions created in preparation for our 4 year HR Excellence in Research external review in November 2017.

Dr Jen Smith and Dr Jackie Potter, on behalf of all contributors
Learning and Professional Development Centre, November 2015

Appendix 1: Keele University Concordat Implementation Action Plan 2015 – 2017

Glossary

CoP	Code of Practice
DEP	Directorate of Engagement and Partnerships
ECRs	Early Career Researchers
E&D	Equality and Diversity
EIA	Equality Impact Assessment
FTE	Full time equivalent
HR	Human Resources
ILM	Institute of Leadership and Management
KPI	Key Performance Indicators
LPDC	Learning and Professional Development Centre
MAC	Marketing and Communications
PGR	Postgraduate Research Student
PVC R&E	Pro Vice Chancellor Research and Enterprise
RDF	Researcher Development Framework
REF	Research Excellence Framework
RI/ FRO	Research Institutes and Faculty Research Offices
SAT	Self-assessment team
SPRE	Staff Performance Review and Enhancement
SSDS	Student Support and Development Services
UEC	University Executive Committee

Keele University Concordat Implementation Action Plan 2015 – 2017

Text in green is from the *Concordat to Support the Career Development of Researchers.*

Section 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.

1. All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.
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.
3. Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.
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.
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 organisation.

Current policy and practice at Keele	Any action to be taken	By whom	Progress	Review (including date)
Keele's Recruitment and Selection procedures aim to ensure a robust, fair and legally compliant approach to selecting all staff, including Researchers.	Ongoing monitoring and review of training completion rates (aim: 100% of all recruiting managers)	HR and others involved in the recruitment process.		Review completed by 31 July 2016

November 2015

Relocation and removal expenses are currently reimbursed up to a maximum amount – depending upon where the individual is relocating from. This policy applies to all members of staff, including Researchers and those on fixed term contracts.	The thresholds for relocation and removal expenses to be bench marked, after which an options appraisal will be submitted to the UEC for a decision. This will ensure that our relocation/ removal expenses are competitive within the market and assist with attracting the best candidates for our research roles.	HR	Work on this action is ongoing. Benchmarking activity has been completed the paper for UEC is currently being drafted.	Review completed by 30 November 2015.
Promoting Keele as an attractive employer, particularly for Researchers. Upon appointment, new Researchers are clear about expectations of them and the support available for them to succeed.	To review the academic probation procedure to ensure that this is captured and all staff are aware.	HR & key stakeholders		By 31 March 2016
Ensure that appointed staff have a research profile that will align with and enhance existing research strengths and the University Research Strategy.	To add in a slide to the Recruitment and Selection E-Learning package to ensure that recruiting managers in Academic areas consider the Research strategy in recruiting researchers.	HR		By 31 July 2016

November 2015

Committed to ensure that all those involved in Recruitment and Selection are trained and keep their training up to date by completing it every two years. Within the training itself, ensure that the importance of the Person Specification is emphasised to ensure that objective measures are used in shortlisting.	Continue to ensure that recruiting managers complete recruitment and selection training every two years and refresh the training regularly.	HR		By 31 July 2016
The diversity profile of recruitment and promotion/rewards panels is reported to the University Executive Committee (UEC) on an annual basis.	Diversity profiles to be reviewed by HR. Reports to UEC to continue.	HR UEC	Established	Review in July 2016 following the provision of the KPI information to UEC.
Consider appropriate measures to address areas of workforce underrepresentation.	Design and develop a range of positive action measures to address any inequality in our staff profile, or barriers to progression.	HR and key stakeholders	In progress	31 July 2016

Section 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.

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.
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.
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.
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.
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.
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.

Current policy and practice at Keele	Any action to be taken	By whom	Progress	Review (including date)
The Successfully Managing a Research Award workshop contains information on inter alia People Management for Principal Investigators, including managing staff on fixed-term contracts. Multiple services across the University	The current face-to-face workshop attracts low numbers. We will run the face-to-face workshop in the current format in Spring 2016 and 2017. However, we will develop an online version on learning pool to make the training accessible	HR and LPDC.	Ongoing.	Review feedback and engagement with the learning pool resource after first academic year in order to update and improve by September 2018.

Review feedback on grants workshop after delivery in |

contribute to this workshop.	when and where researchers need it, rather than when it is centrally scheduled. We will also commission an external provider to centrally deliver a grants workshop; before the end of the academic year–June 2016.			June 2016 to assess whether to make it part of the annual LPDC offer.
The University fully complies with the regulations for Fixed Term Employees (Prevention of Less Favourable Treatment) 2002.	Current policy and practice is already compliant with the Concordat and should be maintained. Continue to ensure that current policy and practice is adhered to.	HR	Established.	HR review all contract templates on an annual basis (around July each year) or following the change of legislation. Ongoing.
All staff are required to participate in SPRE which seeks to enhance performance development of individuals. A review of the effectiveness is being undertaken (October – December 2015) with recommendations to be put forward to the University Executive Committee (UEC)	Actions will be identified following the outcome of the review.	HR	Review in progress.	December 2015
We have a redeployment process in place which includes researchers who are approaching the end of their contract. This policy has recently been reviewed and is due for implementation.	Implement new redeployment procedure. In 2015, three Research members of staff were at risk, two of which were placed in to alternative employment within the	HR	Policy revised, implementation pending.	31 March 2016

November 2015

University. Aim to improve successful outcomes.				
Where promotions are considered, this is through a formal panel which takes account of expertise and experience to ensure a fair process. The diversity of applicants and successful promotees is recorded and reported upon.	Current policy and practice is already compliant with the Concordat and should be maintained. Continue to run workshops to support individuals who are considering promotion.	HR	Established. Number of delegates has increased from 20 in 2014 to 54 in 2015.	The promotions panel sit on an annual basis and the diversity statistics are reviewed by University Executive Committee (UEC). This takes place between September and December each year.
Development and support to build leadership capability and capacity in line with the requirements of the new research leadership and management structures.	Following successful one-day event for Research Leaders from across the university, a further event to be developed for potential research leaders. Event will be delivered between January and May 2016.	LPDC	Meeting between LPDC staff and PVC Research and Enterprise, November 2015.	Review after 2016 event.

Section 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.

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.
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.

November 2015

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.
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.
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.
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.
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 practise 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.
8. Employers also should provide a specific 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.
9. Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.

Current policy and practice at Keele	Any action to be taken	By whom	Progress	Review (including date)
Faculties and RIs induct new research staff. All new staff (regardless of role) undertake a Welcome to Keele session as part of the	The LPDC to explore how it can better support RI/FROs in the induction of research staff – for example by creating a research staff	LPDC	To be undertaken	June 2016.

Keele Knowledge programme. Analysis of attendance data shows that it is reaching 97% of new staff. A Research Ethics workshop runs 3 times per year as part of the Keele Knowledge programme for new staff. Elements of induction – such as E&D training – are also available online via Learning Pool.	specific version of the current induction checklist.			
The new Personal and Professional Development (PPD) for Postdoctoral Researchers workshop (October 2015) is introductory and therefore best suited for new ECRS. It was promoted via the LPDC website and the new Postdoc Forum (a staff-led group).	Incorporate the new PPD resources for researchers that are being developed for April 2016 into the October 2016 workshop.

Promote the October 2016 workshop directly to research staff via email.

Once promotion of the workshop has been improved and content enhanced for 2016, review attendance data and feedback to assess if the workshop should run semesterly and how to increase reach and improve content for 2017 delivery. | LPDC | Workshop ran in October 2015. | Review after each delivery. |

| Research staff can develop the transferable skills that they need to be effective researchers and highly-skilled professionals through accessing subject-specific support through their RI/FRO and a broad range of training and development through the LPDC (both face-to-face and online). 100% of LPDC researcher workshops are mapped to the RDF. | The numbers of LPDC courses aimed specifically at research staff is not extensive, though has increased over the last 2 years (e.g. in the areas of IP, Impact and Engagement, and research ethics). Through examining the results of the October 2015 researcher survey we can further develop our offer in areas that research staff have identified as a training need (for example, enlisting external providers to centrally deliver media training and a grants workshop).

In 2015-16 we are inviting HEaTED (an organisation dedicated to supporting professional development of Technical staff) onto the Keele campus to run training courses in areas of relevance to research. We will evaluate the value of the HEaTED offer to support our researcher community.

Develop Successfully | LPDC | Ongoing | Annual review as part of the LPDC researcher training monitoring and development in May-June (2016).

The ability to book workshops through Keele People will be in place for the start of the academic year (September 2016). |
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	Managing a Research Award into an online learning pool course (see Section B). The ability to book workshops through Keele People will mean that research staff can easily filter what is of relevance to their needs. Increase the number of research staff taking up training and development offered through the LPDC by at least 15% between November 2015 and November 2017. Sustain and develop existing relationships with training providers and develop new relationships to extend the range of workshops on offer.			
Keele now has a set of easy to use templates to help manage or lead a project and a Leading Projects workshop is available as an open or bespoke programme. The Project Management methodology and templates	Contact Research Support Services to inform them of the new project management methodology, website and tools for sharing with researcher community. Project management information and links to the new website to be shared on	LPDC	In progress.	October 2017

are available on the LPDC website.	RSS website and with RIs/ FROs by end of December 2015			
Anonymous data on centrally-provided workshop attendance is fed back to University Postgraduate Research Committee. We have found this a useful process in developing our postgraduate researcher offer and monitoring year on year engagement and trends.	Collect and analyse anonymous data on the attendance of research staff at workshops and report forward to Research Committee, so that we can develop our research staff offer and monitor year on year engagement and trends. Aim to increase the number of research staff taking up training and development offered through the LPDC by at least 15% between November 2015 and November 2017. Investigate how the current records system and the Keele People system (that we are moving to) can extract research staff data from data on academic staff in general. As research staff may fall under a range of job titles, we need to ensure that we are capturing the relevant information.	LPDC and HR	We are exploring how best to extract attendance figures for staff whose primary role is research from our new records system.	Produce end of academic year reports for Research Committee in June 2016 and June 2017. These can feed into preparations for our 4 year HR Excellence in Research external review in November 2017.

The LPDC and Careers and Employability Service annually deliver Broadening Horizons which takes a broad-minded approach to researcher careers. In Spring 2015, Broadening Horizons ran as two separate courses (one for PGRs and one for ECRs) and was adapted from a 2 day course to 1 day, in recognition of time constraints on busy researchers.	We annually review and refresh this course to make it more attractive and accessible to our researchers. For 2016 delivery we have moved to 2 half days, to allow a week in between delivery to process and reflect upon learning and undertake preparatory tasks.	LPDC and Careers and Employability.	Course being developed for delivery in new format in May 2016.	Review feedback and participation rates after May 2016 delivery and revise, where deemed appropriate, ready for Spring 2017 delivery.
Staff access advice on career management from their line manager, RI/ Faculty Research Office and Research Support. The LPDC and Careers deliver Broadening Horizons annually. An annual email to research staff is sent out from the LPDC in November to highlight local and national career and professional development opportunities available.	LPDC to scope careers support practice for early career researchers in the sector and use this to inform discussion with key University stakeholders, with a view to making any necessary changes for the start of the 2016/17 academic year.	LPDC	Scoping exercise not yet started.	Scoping exercise to be completed for April 2016, making any necessary changes by October 2016. To be reviewed in preparation for our 4 year HR Excellence in Research external review in November 2017.

Support and development re. research impact is provided by the RI/FROs, DEP and LPDC. The LPDC piloted Vitae's Making Your Mark - Introduction to Impact and Engagement course in 2013 and it is scheduled as part of our offer for January 2016.	Engaging Researcher continues to run annually. Making your Mark is taking place in January 2016 and will be delivered by the facilitator who ran the 2013 pilot workshop.	RI/FRO, DEP & LPDC	In place	Annual review as part of the LPDC researcher training monitoring and development in May-June (2016).
The University is piloting an Impact Acceleration Fund to accelerate and catalyse all types of non-academic research impact and enhance the process of getting research outcomes into beneficiaries and wider society. All researchers across Faculties/Schools and Research Institutes are eligible to apply for funding to support the full range of non-academic research impact activities.	Impact Acceleration Fund Pilot underway	DEP	Impact Acceleration Fund applications are open and will close in November 2015	There will be an evaluation of the Impact Acceleration Fund which will be reported to Research Committee in September 2016, where future actions (including potential to repeat the fund) can be considered.
Writing for publication workshops were delivered by an external facilitator in November 2013 and will be again delivered in February 2016. In October 2015 a	LPDC to work with RIs/FROs and staff in establishing the most appropriate way to deliver writing support in their area, such as research staff only provision; staff and	LPDC working with RIs/FROs and staff	Work not yet started	Run an introductory workshop by the end of the academic year (June 2016). Have a programme of writing retreats in place for

member of LPDC staff undertook training in delivering writing retreats.	PGRs together; Faculty-specific; cross-discipline, etc. To begin, run a workshop enabling the sharing of current practice around writing retreats; outlining the structured writing retreat model; and leading a mini-retreat by the end of the academic year. Ensure that there is representation from across the FROs/RIs.			the academic year 2016-17. To be reviewed in preparation for our 4 year HR Excellence in Research external review in November 2017.
Keele has created the post of Research Support Librarian (November 2014). The role includes: providing advice and support on information resources and literature searching; offering training on Keele's reference management software, RefWorks; and fielding enquiries on Open Access publishing, the Keele Research Repository and copyright. The Research Support Librarian is running a range of workshops for research staff and postgraduate research students, advertised via the LPDC, including sessions on	In place	Research Support Librarian	Ongoing	Workshops offered will be part of the annual review of the LPDC researcher training offer in May-June (2016).

November 2015

Refworks and on Publishing Research Open Access Using the Keele Publications Database. Has also delivered a half-day workshop on databases as part of the Postgraduate Researcher Development Days.			

Section C: Support and Career Development continued

Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.

10. Researchers should be empowered by having a 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.
11. Employers will wish to ensure that developmental 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 unduly disadvantaged when moving from one employer to another.
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.
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 or management committees.
14. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement

Current policy and practice at Keele	Any action to be taken	By whom	Progress	Review (including date)
The annual Staff Performance Review and Enhancement (SPRE) scheme applies to all staff.	Ensure researchers on fixed-term contracts participate in SPRE as mandated in Keele's Fixed-term Working	HR	Review of SPRE scheme in progress.	We will monitor the use and effectiveness of SPRE for all staff as part of the review currently being undertaken:

November 2015

	Policy and Procedure. Ensure that 100% of Research Staff undertake/engage with SPRE process.			October 2015 – December 2016.
All research staff have a mentor.	Further develop the Mentoring at Keele resources to support mentoring within a research context. Ensure mentoring training highlights resources available to support the personal and professional development of researchers. Develop current Meaningful Mentoring workshop to offer a research specific core workshop. Provide separate research mentoring workshop/s between January and March 2016. Identify where bespoke mentoring support and development would be beneficial within Schools, Research Institutes, Discipline/Subject areas.	LPDC	Meetings with Research Leaders within Schools and Research Institutes to identify needs/ materials already developed that can be shared / adapted.	Review mentoring provision and workshops April 2016.

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The Learning and professional Development Centre provides a Professional Development Toolkit for staff. The new PPD for Post Docs workshop promoted Vitae's Professional development planning for researchers online course (PDP ROC) and the RDF.	Review Personal and Professional Development resources and activity for end of December 2015. Develop a set of Personal and Professional Development resources for researchers on the LPDC website for April 2016.	LPDC		Review April 2017.
Researchers who teach or demonstrate are provided with teaching support and development via the LPDC and have access to the Keele CPD route to HEA Fellow.	Publish a Teaching Development Framework to clearly articulate the pathways and choices available.	LPDC	Teaching Development Framework to be published by October 2016.	Re-accreditation by the HEA, for aspects of the provision, by the HEA is due in May 2017.

Section 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.

1. Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.
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.
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.
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.

November 2015

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.

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.

Current policy and practice at Keele	Any action to be taken	By whom	Progress	Review (including date)
There is a University Policy and Procedure for Research Misconduct that is available to all staff through the intranet.	Current policy and practice is already compliant with the Concordat and should be maintained.	HR and DEP	Established	Review January 2017.
A Research Ethics workshop runs 3 times per year as part of the Keele Knowledge programme for new staff and is well-attended.	Established with scope to expand the places available to meet demand.	LPDC and Research Support	Established.	Part of annual review of the LPDC researcher training offer in May-June (2016).
Researchers' development requirements and activities should be discussed and monitored as part of their SPRE.	Explore how the RDF can better inform SPRE discussions with research staff.	LPDC and HR	The current SPRE review has asked if the RDF is being used in SPRE meetings.	SPRE review currently being undertaken: October 2015 – December 2016
Researchers can use Pebblepad (e-portfolio) to record their Personal and Professional Development planning and CPD activities.	Pebblepad was highlighted in the PPD for Post Docs workshop as one option for reflecting on and recording development. Add this	LPDC	LPDC webpage update October 2015.	LPDC webpage updated as needed and information will be reviewed at the end of the academic year – June 2016.

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	information to the LPDC web resources for researchers webpages.			
IP workshop now runs annually.	Workshop ran December 2014. Format for delivery during 2015-16 academic year to be decided by DEP.	DEP.	In progress.	Part of annual review of the LPDC researcher training offer in May-June (2016).

Section E: Equality and Diversity

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

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.
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.
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.
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.
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.
6. 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 maternity leave.
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.

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.

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.

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.

Current policy and practice at Keele	Any action to be taken	By whom	Progress	Review (including date)
Where promotions are considered, this is through a formal panel which takes account of expertise and experience to ensure a fair process. The diversity of applicants and successful promotees is recorded and reported upon.	Current policy and practice is already compliant with the Concordat and should be maintained.	HR	Established	The promotions panel sit on an annual basis and the diversity statistics are reviewed by University Executive Committee (UEC). This takes place between September and December each year.
Women are encouraged to apply for promotion to Senior Research roles through the University's promotions procedure. A series of workshops are held each year to provide all relevant staff with the information and tools to apply for promotion.	Maintain current practice.	HR	Established. 54 delegates attended promotions workshops in 2015, an increase of 34 from 2014.	The promotions panel sit on an annual basis and the diversity statistics are reviewed by University Executive Committee (UEC). This takes place between September and December each year.

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The University has a commitment to support gender equality and make opportunities available to women researchers and leaders	Promote and monitor researcher engagement with the *Springboard* development programme and the Leadership Foundation for Higher Education *Aurora* programme. The Keele Forward initiative is being developed to build capacity for and accessibility to leadership/committee roles.	LPDC	Delivery in 2016 is third year of delivery.	Annual review as part of the LPDC researcher training monitoring in May-June (2016). Springboard programme will be reviewed for impact and reach during 2016 by LPDC and Athena SWAN officer. Aurora, Springboard and other mentoring schemes to be reported on by LPDC to the University SAT, January 2016 and reviews to continue annually from then onwards.
The University is committed to ensuring staff are appropriately trained in equality and diversity as part of its Equality Objectives and action plan. All new employees receive E&D training as part of their central induction (Keele Knowledge Programme) and E&D is well embedded into a range of core courses, for example the Supervisor Development Programme and the PG Certificate in Teaching and Learning. A	The LPDC are developing mechanisms to further integrate E&D into the development of all learning programmes, including the use of Vitae resources to support the researcher community. Unconscious Bias training will be offered within the core learning and development offer.	HR and LPDC	Ongoing	HR review the forthcoming training programmes every January and July to ensure sufficient capacity exists. A review of Equality and Diversity provision, including Unconscious Bias training will be undertaken when new E and D structure is fully populated. December 2016 LPDC annually review training in May-June.

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range of bespoke training has also been undertaken throughout the year.				
Keele participates in a number of external frameworks, such as Stonewall Diversity Champions Programme, 'Two Ticks' and Athena SWAN/ gender equality mark charters to raise the profile of the University as an employer of choice.	Stonewall submission has been made. Accompanying questionnaire has been sent out for completion. Awaiting outcome of submission and any recommendations.	HR	Submission made, outcome pending. The submission process has helped the University to identify areas where activities could be increased to support the Stonewall agenda.	Spring 2016
	Continue with the Athena SWAN programme of activity, , supporting the following areas across the University with their Athena Swan submissions: - School of Nursing & Midwifery (Bronze) – Nov 2015 - School of Law (Bronze) – 2016 - Research Institute for Primary Care and Health Sciences (Gold) – April 2016. - School of Psychology (Silver) – 2016 Additionally, during 2016,	HR	In progress	Ongoing

	support the resubmissions from the School of Computing & Maths (Bronze) and the School of Pharmacy (Silver).			
	Renew Department for Work and Pensions 'Two Ticks' Mark.	HR	In progress	31 July 2016
The University has a strategic commitment towards internationalisation and fostering good relations on campus.	International Women's Day will be held again in 2016, plus additional events coordinated by the Policy and Development Officer (Student Experience and Equalities).	HR&SS	Established	31 July 2016
The University has a suite of Family friendly working policies and an on-site Day Nursery.	Ensure policies are kept up to date with relevant legislation.	HR	Established	31 December 2016