CONCORDAT TO SUPPORT THE CAREER DEVELOPMENT OF RESEARCHERS

GAP ANALYSIS AND ACTION PLAN

March 2017 - March 2019

CONTENTS

1. BACKGROUND

Leeds Arts University has played a central role in providing specialist education in art, design and crafts for 170 years.

We have two main sites in Leeds city centre: our higher-education campus at Blenheim Walk and the original College of Art building on Vernon Street, which houses our further-education courses. We are perhaps best known for the development of the Foundation Course under Harry Thubron (appointed Head of Fine Art in 1955). The philosophy underlying its teaching has influenced foundation courses throughout the country and is still of paramount importance today. Our most renowned alumni are probably Barbara Hepworth and Henry Moore; more recently, they include Damien Hirst, Danny Sangra and Omar Kashoura.

We gained Taught Degree Awarding Powers (TDAP) in September 2016. This was a landmark in our history, followed by our becoming the only specialist arts university in the North of England in August 2017. We were awarded the Whatuni Student Choice Award for best facilities for two out of the past 3 years and is the highest ranked specialist art and design institution in the Guardian University League Tables 2017 for Art, ranking tenth in the whole of the UK. For two years running, between 2014 and 2015, we were also the highest ranked specialist art and design institution in the specialist institutions league table. We also ranked highly for Design & Crafts (14th place out of 73 institutions) and Film & Photography (11th place out of 66 institutions). In November 2016 in collaboration with the University of Leeds we won the THES Digital Innovation – Teaching and Research award. In 2018 the University was short listed with the University of Sheffield for the Times Higher Education Awards in the category of International Collaboration of the Year. Year on year, we are amongst the highest scoring for student satisfaction in the National Student Survey when compared with other specialist art institutions. One of the University Research Fellows has been awarded a 2-year Marie Skłodowska-Curie fellowship, which is part of the European Union flagship program for excellent research, which began in 2019.

Our portfolio of courses has evolved over the years but still retains a spread across art, design and craft disciplines, although the advent of digital technology has changed the way much of the provision is taught. Today we have around 1,400 undergraduate students and 750 further-education students; this makes us one of only a few specialist art institutions in the country to provide progression from age 16 to undergraduate and postgraduate provision. Our students study in a thriving community of artists and designers. Our HE Provision initially consisted of 10 undergraduate courses - BA (Hons) Animation; BA (Hons) Creative Advertising; BA (Hons) Fashion; BA (Hons) Fashion Photography; BA (Hons) Fine Art, BA (Hons) Graphic Design; BA (Hons) Illustration; BA (Hons) Photography; BA (Hons) Textile Design; and BA (Hons) Visual Communication. In September 2018, a BA (Hons) in Comic & Concept Art, a BA (Hons) in Fashion Branding with Communication, a BA (Hons) in Fashion Design, a BA (Hons) in Filmmaking and a BMus (Hons) in Popular Music Performance were introduced to the University's portfolio along with a BA (Hons) in Creative Writing from September 2019, increasing the undergraduate provision to 15 . We also offer a MA in Creative Practice and a MA in Curation Practices. In September 2019, a MA in Fine Art, a MA in Graphic Design, and a MA in Photography will be introduced, increasing the postgraduate provision to 5 courses.

Recently, a major expansion of our Blenheim Walk site opened in 2019; creating a 6000m2 building to accommodate purpose built studio spaces for new degree courses.

Our higher-education students and graduates win an incredible number of high-profile industry competitions each year, and many of our alumni come back to visit as guest lecturers or exhibitors. We have a thriving programme of exhibitions (which is interpreted with the research strategy and uses an international advisory board to select works) and events, and have built very strong links with industry and the public sector. We are home to the region's largest professional network for individuals working across the creative, cultural and digital industries, providing the perfect launch pad for graduates.

Employability is implicit in the project work that many of our students undertake, which includes competition briefs, work placements, mentorships by creative professionals and collaborative international projects. We also equip students through their course work with basic business skills and knowledge of the creative industry in which they wish to work. This can give them more confidence to consider starting their own business or work freelance. There is a significant emphasis on developing the key 'softer' transferrable skills of teamwork, time management, project management, reflection, problem-solving and self-motivation which are particularly important to employers and for self-employed work alike.

The University's Research has developed significantly under its Strategic Plan for 2012 – 17. Our strategic Aim was:

"To develop our research practice and innovation which enhances teaching and learning

We will:

- *Establish Masters programmes to enhance and progress research and scholarly activity in subject disciplines*
- *Develop our research strands across the University and encourage international research links*
- *Increase our research grants, as appropriate, from a wide range of sources*
- *Support our staff and help them to develop their research practice; encourage internal collaboration; and, through external networks and meetings, enhance subject-specialist knowledge (especially as it relates to teaching and learning)."*

During this time a new Research Strategy was developed, created the role of the Director of Studies – Higher Education Enhancement and Research which is now our Pro Vice-Chancellor Academic; a new Head of Research who also has oversight of the MA in Creative Practice and 2 permanent Research Fellows which the University self funds as well as a part time Research Associate. The research role of Curator has also been created and this role is supported by a Curatorial and Exhibitions Assistant. Our exhibition spaces are uniquely placed to use collections, disciplines and ideas to demonstrate impact of applied creative practice and practice based research. The Exhibitions Strategy is aligned to the Research Strategy. The Curator provides leadership for the University's excellence in exhibitions, publications, collection development, interpretation, access and research. The role is responsible for leading, directing and contributing to the strategic direction and management of exhibition space to meet our strategic objectives along with designing, curating, hanging and marketing a contemporary and thought-provoking local, national and international exhibitions programme and as well as coordinating all related activities.

In addition the University's deliberative structure (appendix 1) now contains a Research Committee which reports into its Academic Board. The Committee is chaired by the Pro Vice-Chancellor Academic, and its membership comprises of the Head of Research, the Curator, 2 Research Fellows, 5 elected HE academic representatives, and 1 elected FE representative. The Research Committee has responsibility for supporting the Research Strategy. Its mission is to support scholarship and research that underpins excellence in practice, learning and teaching. The Committee will promote the creation of a sustainable and enterprising research culture for the benefit of staff, students and the University and to act in an advisory capacity to University Committees, and individuals (staff or student) on ethical matters. It advises the Academic Board on:

- the development of curricula, strategy, policy and monitoring to support research
- the range, quantity and appropriateness of research across the University and the provision or use of resources to support research
- the development of processes to identify, document and enhance the impact of research conducted across the University
- developing networks to support collaborative research with other appropriate academic or industry partners

- ethical matters related to specific University research projects or student projects and, where appropriate, refer matters to the Ethics Sub Committee
- development of staff to ensure all who are involved in or are supervising research projects understand and are able to apply the ethical guidelines
- the review, development and implementation of the Research Strategy
- the review of performance and development of research clusters
- the effective publication, dissemination and communication of research internally and externally, promoting and sharing good practice
- the consideration of relevant externally generated information pertaining to research, researcher development and funding and advise accordingly
- new initiatives, opportunities or needs in the areas of research and ethics
- progress by way of an annual report on research, scholarly activity and exhibitions undertaken
- any other matter relating to research or ethics as appropriate or as directed by the Academic Board.

Within the context of *Leeds Arts University* research is investigating; rediscovering or making a new contribution to knowledge in a chosen specialist field of study/practice that is open for scrutiny through peer review.

Scholarly activity is defined as surveying existing developments in the researchers' field, these developments may be practice- based or technical as well as academic or theoretical; acquiring knowledge in order to keep up to date with developments in a specific area.

Scholarship is similar to *Continuous Professional Development* (CPD) but more involved and focuses on a particular area of field of work, it may involve a number of different activities and goes beyond what is strictly necessary to do 'the job'.

Our 85 HE academic staff, whilst free to pursue their own research interests, primarily work within practice-based research.

The University is a member of the GUILD HE: RESEARCH and previously, two members of the Research Team (a Research Fellow and the Curator) were members of the Arts and Humanities Research Council Peer Review College.

This submission has been written by the Head of HR in conjunction with the Pro Vice-Chancellor Academic and has been considered by the University's Research Committee and approved by the Academic Board. The Gap Analysis received extensive formal consultation and deliberation through these deliberative committees. The membership of the Research Committee include as ex –officio members of staff on research only contracts, and this is the forum through which those staff on research contracts were consulted on the submission. The Research Committee will be responsible for monitoring the University's progress against the action plan; and be the forum in which Research active staff are able to raise issues around the University's implementation of the Concordat.

The Head of Human Resources, the Pro Vice-Chancellor Academic and the Head of Research are jointly responsible for the implementation of the action plan. The actions are specifically targeted at the 5 roles on research only contracts but many of the actions will eventually be extended to those staff on teaching and research contracts.

This document outlines:

a)   Policies and practices we already have in place
b)   Actions for further development and progress

2. GAP ANALYSIS

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.

	Requirement	Current situation / gaps	Actions	Progress	Deadline	Responsibility	Success Measures
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution	The importance of Research to the University is explicitly stated in its strategic plan for 2013 – 2017. The Recruitment and Selection Procedure makes it clear that all appointments are made on merit. The procedure was revised in 2017 and can be found here .	Research Development to be embedded as a theme in the next strategic plan.	Incorporated into new strategic plan as Aim 2 - http://www.leeds-art.ac.uk/media/117350/leeds-arts-university_strategy_2017.pdf	31/07/17	SMT	Research Development is embedded as a theme in the next strategic plan.
1.2	Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified	The University uses standard templates for job descriptions which state the essential and desirable criteria – criteria cannot be amended without the agreement of the Head of HR and a SMT member The procedure is reviewed every 3 years and outlines the procedures followed by the University - it is	As part of its equality objectives the University is rolling out training on unconscious bias to all staff involved in staff and student recruitment on a cyclical basis from June 2017. For existing staff this is to be completed by 31/7/18 and the training will then be run annually for new	Training now embedded into a rolling programme	31/12/18	Head of HR	All staff involved in recruitment have received unconscious bias training

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	published here . To reduce the risk of unconscious bias both the front sheets which identify the candidates name is withheld from the panel at shortlisting and the panel do not have access to the equality information. The panel is only made aware if a candidate has a disability if reasonable adjustments need to be made at the recruitment stage. The University strives for gender diverse panels; and a member of HR is involved in every recruitment panel and makes the recommendation of appointment. HR provides recruitment training on an annual basis to ensure that all managers in the University have been trained on the recruitment procedures. The University is a Disability Confident employer and as such	staff				

| | | recognizes that people with disabilities contribute significantly to the success of the organisation, have significant skills, qualifications and experience to offer and yet often face unnecessary barriers to employment. Those with a declared disability who fully meet the essential criteria for the post, as detailed in the person specification, will get an interview under the Guaranteed Interview Scheme (GIS).

In addition the University achieved the Level 2 Investors in Diversity Award in June 2015. | | | | | |
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| 1.3 | Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason. | The University's default position is that all posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason. This is usually for reasons such as maternity cover but on occasion will be if a post is linked to funding for a defined period. All recruitment activity requires the approval of | HR to monitor the use of Fixed Term contracts and report in the annual HR Report to SMT for the year 2016/17 onwards. | No fixed term roles advertised for research only posts in 2018/19 | 31/07/18 | Head of HR | Fixed term contracts are only used where an appropriate situation exists |

		an SMT member and the Vice-Chancellor who scrutinise whether the request and if applicable, whether a fixed-term post is justifiable.					
1.4	To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received	The University strives for diverse panels though the organizational size can be a barrier. To ensure that there is consistency, fairness and expertise in recruitment a member of HR is involved in every recruitment panel and makes the recommendation of appointment. HR provides recruitment training on an annual basis to ensure that all managers in the University have been trained on the recruitment procedures. It is a requirement that any manager who takes part in recruitment has received this training. The HR representative on the panel is responsible for contacting and giving feedback on behalf of	Ongoing training to continue of newly appointed managers who may be involved in staff recruitment	All managers attend R&S training with HR as part of their induction programme in the first 12 months of their employment. One to one session is run if they need to take part in recruitment before the session takes place.		Human Resources	Managers who are involved in recruitment have received appropriate training

	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	the panel to all unsuccessful candidates. For all Research posts the Pro-Vice-Chancellor Academic chairs the recruitment panel.				
1.5	The level of pay or grade for researchers should be determined according to the requirements of the role.	The grade of all roles outside of the SMT is determined through a job evaluation process using HERA.		No significant changes to the job description of the Research Fellow during last recruitment (Autumn 2017) to warrant re-evaluating the role.		Human Resources	

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 c
and deliver world-class research.

		Requirement	Current situation / gaps	Actions	Progress	Deadline	Responsibility	Success Measures
2.1		Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.	The University currently has 1 Research only staff employed on a fixed term contract which followed their retirement from a larger substantive role. Where fixed term contracts are used the staff have the same access to University resources and facilities as permanent staff and enjoy the same terms and conditions of service. As noted in 1.3 above the University seeks to avoid the use of temporary contracts and only uses them where there is a direct business need, recognizing that the insecurity of employment may have an impact on both the employee and their performance. The Continuous Professional Development (CPD) framework was reviewed in November 2016 and now specifically states: *"The University recognises that research links to CPD, and as such the Framework should not be seen as a*					

		standalone document but cross referenced to other documents such as the Strategic Plan, and Research Strategy. Research active staff are encouraged to consider their development needs against the UK Vitae Researcher Development Framework."					
2.2	Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles	This commitment is evidenced through the University's Recruitment procedures, the consideration of justification for why any post would be recruited on a temporary or fixed term contract as outlined in 1.3 and the parity of terms and conditions outlined in 2.1 above					

	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						
2.3	Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are	All new staff within the University including Research staff go through a series of probationary meetings where performance management and development are discussed. This then links into the University's appraisal framework - the Annual Performance Review. All managers including Research Managers receive training on how to undertake these activities, as well as training on the University's Performance Capability Procedure. The aim behind	All staff involved in research are to be encouraged to consider their development needs against the Vitae Research Developers Framework	Vitae has been introduced to Research Fellow as part of induction and noted as an action to join probationary meetings.	30/10/17	Head of Research	Head of Research will discuss the Vitae Research Developers Framework as part of the next appraisal cycle with all staff employed on research contracts

		the procedure is to improve the performance of an employee. The completion of probationary review meetings and APRs is monitored centrally by HR who also undertake quality checks on returned forms to ensure that a robust and fair process has been consistently followed. All staff within the University are required to complete Equality, Diversity and Inclusion training within their probationary period and refresher training on a cyclical basis. Specific research related training is not currently consistently provided					
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.							
2.4	Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes	Currently the University's research posts are entirely funded by the University and are not reliant on grant funding. The University is a member of both GUILD HE: RESEARCH and subscribes to the AHRC allowing staff to apply for UK SBS Grants.	HR to hold discussions with SMT to develop a system for how such situations might be managed in the future given the institution's size and funds. Decision to be taken on whether		01/06/18	Head of HR / SMT	Discussions taken place and the need for any such formal system within the University determined not necessary at this time due to the low number of research only roles

	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.	Given the current structure and funding of research roles in the University (ie not being specifically grant funded) no such system currently exists for supporting the continuity of employment of researchers. Where researchers have been successful in gaining small grants they have been managed as a separate fund within the research budget by the Head of Research using the University's current financial regulations, infra structure and procedures.	such a system needs to be developed for the future by early 2018 following the development of the next strategic plan.				
2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the	All roles within the University have been job evaluated using HERA and pay bands are set based on their HERA points score. Transparent procedures are in place as detailed in the staff pay increase policy and are overseen by HR and these apply to all staff. The published criteria are: Increments will be awarded to all staff (who are not at the top of their scale) who have served a full year as of 1st August on their current increment where they are	Pay review policy is due for review in 2017/18 – to consider whether any specific criteria for researchers should be included going forward or whether the current framework is sufficient	Revised policy was approved in January 2018	31/07/18	Head of HR	Updated policy approved by 31st July 2018

	flexibility that institutions have in implementing the Framework.	contributing positively to the effectiveness and efficiency of the University as follows: Criteria for award of increments within bands • Achievement of CPD agreed at the last APR meeting • Achievement of at least good in session observation (FE staff) and/or peer review for HE academic staff • No performance/competence/ disciplinary/ absence issues resulting in a live warning on file • Agreed, robust development plan from the annual appraisal for the following year • At least satisfactory achievement of previous objectives and against the aims from the annual progress review with confirmation from the manager that targets have been met, or where they haven't there are good reasons for this • Have successfully completed the probation period • For HE staff only - to have agreed an outline research project in place with the					

		Head of Research by the agreed date and that the Head of Research is satisfied with the progress made. Information supporting the above must be recorded on the employees completed Annual Progress Review Form. The targets for research staff are based on their research development plan and consider outcomes and impact. All APR forms are reviewed by the Training Officer and Head of HR; and the Head of HR meets with the University's SMT to review cases where the criteria may not have been met; and at that stage a collective decision is taken as to whether increments should be withheld; otherwise they are paid if a staff member is not at the top of the spine.					
2.6	Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities	All vacancies within the University are advertised and recruited to using the University's Recruitment and Selection Procedures as noted. The University launched its Professorial Policy and Procedure in the academic year 2015/16. The policy sets	Policy to be amended and approved prior to next round of applications		31/12/17	Head of HR and Pro Vice-Chancellor Academic	Amended policy in place

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.	out clear benchmarks that the Professorial Committee (which includes internal and external members) assess applications against and has research/practice based research and distinction in academic leadership and/or teaching routes. In June 2016 the committee considered 5 applications and awarded 1 title of Associate Professor and 1 title of Professor. The Associate Professor title was awarded to one of the University's Research Fellows. The recent round of applications identified areas where further guidance could be included within the Professorial Policy and Procedure						

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.

	Requirement	Current situation / gaps	Actions	Progress	Deadline	Responsibility	Success Measures
3.1	It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all	The University's position on research is akin to that of other specialist arts institutions in that both its Research and Academic staff tend towards non-traditional research routes. The majority of research is "practice-based" or	To actively encourage participation in the Vitae Researcher Development Framework through appraisals and mentoring.	Researchers have been encouraged to take part in the Vitae Researcher Development Framework in appraisals.	31/03/19	Head of Research	Greater external partnership working. Research staff are using the Vitae Researcher Development Framework to help develop their careers

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.	"practice-led"; and many of our staff have an active private practice as well as educational role. Indeed many of the academic lecturers are employed due to their active practice which in turn links to their research. The measurement of this research is often around its impact externally and what is then transferred back to students. The size of the University as outlined in the introduction means that there are no clear opportunities for progression in employment within the University due to the limited number of roles. There is however the opportunity for Research staff to apply for the title of Associate Professor or Professor.	To actively encourage staff to partake in partnerships outside the University, potentially through GUILD HE: RESEARCH. To review Progress in March 2019	The GUILD HE: RESEARCH sandpit project was promoted to all HE academic staff. One Course leader was selected and was successful in gaining research funds to 'seed' a project. One Research Fellow has been awarded a 2-year Marie Skłodowska-Curie fellowship, which is part of the European Union flagship program for excellent research. From April 2019 to March 2021 they will be working on the project "Alpine Community Economies Lab" in collaboration with EURAC Research (IT) and the Habitat Unit at the Technical University Berlin (DE). From Intrecci			

				Possibili they also gained funding for 12 months of co-design and pilot activities of the "Accademia di Comunità". One of the research team has successfully gained the title of Associate Professor			
3.2	A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher	See 3.1. In addition the Research staff work towards a Research Development Plan as part of their APR. One of the questions which managers' pose within their APR is where does the member of staff see their role developing which can prompt a discussion on career development.	Opportunities for researchers to enhance their career paths are discussed carefully at appraisal.	All research staff plan their research development plans as part of the appraisal and also through the annual research proposal which asks the individual to reflect on progress and set new objectives where appropriate.				Opportunities that enhance a researcher's career are facilitated where appropriate, for example one researcher being able to work in Italy on International projects. Researchers working in different fields are supported, eg, social design, photography and martial culture narrative inquiry and practitioner-

	careers and that all career paths are valued equally.							based research.
3.3	Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will	The APR process gives managers and staff the opportunity to discuss development needs and their Research Development Plan as part of the targets. Research staff have the same opportunities as other staff to request training under the University's CPD framework.	To actively encourage participation in the Vitae Researcher Development Framework through appraisals and mentoring. To review Progress in March 2019 CPD is monitored through the appraisal process.		31/03/19	Head of Research		Research staff are using the Vitae Researcher Development Framework to help develop their careers Researchers are able to take part in CPD that enhances their research skills.

	need to be both effective researchers and highly-skilled professionals						
3.4	All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors	As noted above many of the University's staff have an active private practice as well as educational role. Support of obtaining Fellowship of the HEA or higher is available and would assist researchers who wish to move into teaching. Due to its size the University doesn't offer specific independent career advice for any staff.	To explore with GUILD HE: RESEARCH and other small specialist HEIs how research staff are able to access independent advice on career management in other institutions and how this may be able to be applied to the University. Proposal to be submitted to SMT on how the University can do this	Proposal to SMT outstanding – revised deadline in place	31/7/19	Head of Research / Head of HR	Proposal on how the University can address this due to its size considered

| 3.5 | Researchers' benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies | The APR process ensures that researchers are clear about what their research specific goals are and how their performance aligns with these. In addition both research staff and other academic staff submit a research proposal to the Head of Research outlining how they propose to spend their research time and bid for funds from the Research budget to support their forthcoming projects.

As noted above roles within the University are advertised so that staff can apply for these against demonstrated criteria, and the Professorial Policy and Procedure has clear criteria that staff are assessed against. As previously noted the policy of pay progression is publicised and eligibility for pay progression is assessed against these criteria.

Since the University joined Vitae, its benefits have been promoted to all researchers and HE Academic staff. | | | | | |
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3.6	Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organization 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.	All new employees to a role or the organisation have a structured induction which is tailored to their role organized by HR so that they understand the organisation and its procedures. All staff receive a local induction with their line manager which addresses all of the key functions/roles of their post. For staff in management roles this includes training in the most commonly used procedures such as the Probationary Policy and Annual Progress Review. All staff can request training and development under the CPD framework.					
3.7	Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and	The Research Fellows and Research Associate are allocated funds by the Head of Research to assist them with their research development. The staff manage these, but are accountable to the Head of Research for how these monies are spent. Where					

	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.	grant money is awarded the researchers are accountable for its use and expenditure. As noted earlier the University is a member of GUILD HE: RESEARCH. This relationship allows the opportunity for the staff to advise or mentor other researchers. Research Fellows support the Head of Research in mentoring those staff on Teaching and Research contracts by running research events and giving feedback on annual research proposals. The Research Fellows work with the University's MA students on a dedicated PG International project which provides them with the opportunity to mentor or advise PG students.				
3.8	Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual	The University's size and number of research only posts prevent the development of a formal strategy; however the Head of Research provides advice, guidance and mentoring to all research active staff; and in turn is supported by the Pro-Vice-				

	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.	Chancellor Academic. The Head of Research reviews research proposals and mentors through this, they also guide and advise on suitable proposals which may help their careers. The University's involvement in GUILD HE: RESEARCH provides the potential for external support and guidance.					
3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual	CPD is discussed within the annual APR and researchers have the same opportunity to apply for training, scholarly updating and other forms of development within the CPD framework as all other staff on either an ad hoc basis or in relation to activities identified within the APR. Research staff have been encouraged to participate in the AHRC Peer Review College.					

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.					

C: SUPPORT AND CAREER DEVELOPMENT

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

	Requirement	Current situation / gaps	Action	Progress	Deadline	Responsibility	Success Measures
4.1	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	As well as ongoing line management contact within the small research team, or by course leaders for other academic staff there is a system in place for appraising staff in a robust and transparent manner. New appointments are covered by the University's Probationary Policy which links into induction and sees 4 structured meetings during the course of a year. After the completion of the probationary period all staff move onto the Annual Progress Review (APR) process which has been previously outlined and this continues this process. The guidance notes for the APR state: *The APR incorporates a review of past behaviour and provides an opportunity to reflect on past performance. It should also be used as a basis for making development and improvement plans and*					

	preferred career.	*reaching agreement about what should be done in the future. Any significant issue which has been discussed in the previous 12 months should be reviewed and reflected in the APR and associated documentation even if it is only to acknowledge that an improved standard has been attained or the issue has been resolved. The APR should not, however, be used as a tool to introduce new concerns which have not previously been raised with the employee UNLESS the identification comes about specifically as a result of the APR discussion.*					
4.2	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	The University supports Research Staff in applying for Associate Fellowship or Fellowship of the HEA depending upon their experience and in turn recognises this as an equivalent. Essential criteria for academic roles is as far as possible open to interpretation to allow for equivalent development to be taken into account. Researchers have the opportunity to disseminate their research to both other staff and to students.					

	far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.						
4.3	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.	As 4.2 above. In addition the Research team are involved in teaching and demonstrating to the postgraduate provision and lead projects on international visits. Research Fellows take part in dissemination and training events aimed at University HE staff.	To look to develop further opportunities for the dissemination of research to staff and students. This is likely to become embedded into an annual process to identify opportunities.	PG students are invited to research dissemination events, exhibitions and meetings and are encouraged to work with research fellows if appropriate.	31/12/18	Head of Research / Pro Vice-Chancellor Academic	Further opportunities identified and research have been disseminated
4.4	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.	The Head of Research, the University Curator and the 2 Research Fellows are all ex-officio members of the University's Research Committee which is chaired by the Pro-Vice-Chancellor Academic. The Head of Research is a member of the Academic Board, The Higher Education Quality and Standards Committee, the Final Exam and Progression Board, the Equality, Diversity and Inclusion Committee and chairs the Ethics Sub		One newly appointed research fellow has been appointed to the University's Learning Teaching and Assessment Committee			

		Committee. All research staff are eligible to stand for elected academic vacancies with the University's deliberative structure. In addition the Head of Research also attends 2 standing meetings – that of the Prevent Group and the Marketing, International, Careers and Employability meeting.					
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	As part of the University's REF strategy the research staff provide mentoring for staff on teaching and research contracts. External mentoring opportunities for research are supported when the request is reasonable and it can be demonstrated that it is of value to the research.	Look to develop links so that external mentoring is available.	The Head of Research has taken part in the Vitae Mentoring for Researcher Developers Programme pilot as well as notifying the Research Fellows about this opportunity. She has worked with a professor from the University of Winchester.	31/03/19	Head of Research / Pro Vice-Chancellor Academic	Appropriate links are developed

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.

	Requirement	Current situation / gaps	Actions	Progress	Deadline	Responsibility	Success Measures

| 5.1 | Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers. | The University is fully supportive of this criteria and this is implicit in the job descriptions of research staff. The University's Ethics Policy also supports this criteria. The policy has three guiding principles.

• Cause no harm (e.g. in relation to living subjects, institutions, communities, the
• environment)
• Respect for the person (e.g. in relation to researchers, colleagues, managers,
• students, participants, general public)
• Academic and research integrity (e.g. in relation to acknowledging the work of others and being honest when reporting research findings)

Annual Research Proposal process enables staff to demonstrate their independent research driven by their own interests and expertise. | Job Descriptions to be kept under review to ensure that they remain relevant and supportive of this principle | Job description reviewed for recruitment August 17 | 30/11/18 | Head of HR/Head of Research/ Pro Vice-Chancellor Academic | Job descriptions reviewed on a biannual basis – next review due August 2019 |
| 5.2 | Researchers should develop their ability to transfer and exploit knowledge | Opportunities are available through participation in GUILD HE: RESEARCH and AHRC peer review College. We support researchers | Enterprise and Impact Training to be sourced and made available to Researchers and | Training has been offered and delivered

Training on | 31/07/19 | Human Resources | Training offered and delivered by 31st July 2019 |

	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.	where practicable in disseminating their research findings through National and International Conferences and relevant trade fairs and festivals. We also support researchers in forming or contributing to professional and academic networks to promote collaborative and interdisciplinary working. Researchers also write for blogs, practitioner newsletters and run workshops to disseminate their work outside academia	Research Active staff	measuring and evidencing impact of research was delivered in December 2018.			Training on Impact enables staff to write effective case studies.
5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.	All staff participating in research are required to consider the ethical implication of their research through the completion of an Ethics Statement. This is considered by the Head of Research against the University's Ethics Policy and staff can be asked to further consider their ethics statement and ways of working before a proposal is approved and/or funds released. Where there is an issue relating to ethical considerations od research from either a member of	Policy to be considered and developed All research proposals are considered by the University's Ethics Sub-Committee (reporting to the University's Research Committee).	Revisions to the Ethics Policy considered by the Ethics Sub Committee in February 2018 with recommendations on changes proposed to the Research Committee	31/03/18	Head of HR and Head of Research Head of	Updated Ethics Policy was approved on 27/7/18

		staff or a student it is referred to the Ethics Sub Committee for consideration. Whilst we have an ethics policy we don't have a specific policy for dealing with academic malpractice relating to research. To look at amending the Ethics Policy to ensure that it complies with the Concordat to Support Research Integrity	Policy to be revised and updated		31/03/18	Research / Ethics Sub Committee	Updated Ethics Policy was approved on 27/7/18
5.4	Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position	As noted above the University offers ongoing development opportunities to all staff within its CPD Framework. It has recently supported one of the Research Fellows applying to become a Senior Fellow of the HEA. There are financial restrictions within this area due to institutional size so not all requests can always be supported. Spending on CPD related activity from the University's staff development and training budget on the research staff in the Academic Year 2014/15 was £4,905.52 and in the Academic Year 2015/16 £3,181.83 (costs reduced as one Research Fellow was on maternity					

		leave for part of the year). The annual staff development budget for the whole University was £138,000 for 2014/15 and £163,000 for 2015/16. The 2015/16 expenditure equated to £642.94 per FTE across all staff within the University by way of comparison.					
5.5	Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to	This is facilitated through the APR.	To promote the Vitae Researcher Development Framework Planner as a specific tool for supporting researchers to monitor their career development independently.	To be revisited in 2019 APR cycle	31/10/17	Head of Research	Vitae Researcher Development Framework planner discussed with staff employed in research roles as part of the 2017 APR process

	equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their own supervision appropriate training and career development courses and events.						
5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development	The probationary review process noted above sets the base structure for this during the first year of employment. The APR process allows the researcher to review their performance with their manager over the past 12 months and jointly agree targets for the next 12 months. Further opportunities for planning and review lie in the annual research submission to the Head of Research. Records of development activity are currently stored in the HR system but staff do not have access to them. Staff are encouraged to	Self-service access to training records on the HR system to be launched by the end of 2017	September 17 – records available through self service	31/12/17	HR Officer / Training and Development Officer	Self-service access to training records is available

| | | Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate | look and explore VITAE resources | To promote the Vitae Researcher Development Framework Planner as a specific tool for supporting researchers to monitor their career development independently. | Research Fellows are encouraged to become members of Vitae and to receive updates and information about opportunities | 31/10/17 | Head of Research | Vitae Researcher Development Framework planner discussed with staff employed in research roles as part of the APR process |

E: DIVERSITY AND EQUALITY

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

		Requirement	Current situation / gaps	Actions	Progress	Deadlines	Responsibility	Success Measures
6.1		The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans	The University publishes its Equality, Diversity and Inclusion Policy both on its website and intranet. This is supplemented by policies on Equality in Employment and its Inappropriate Behaviour policy which outlines how issues around harassment, discrimination and bullying should be both raised and tackled. The University also has a policy on how it will support a member of staff who has been a victim of domestic violence. All policies are reviewed on	The Equality, Diversity and Inclusion Policy is reviewed review in 2017.	Revised EDI policy is now in place and published Proposed revised Equality in Employment Policy now references equality issues in relation to career development and the REF	31/07/17	Head of HR	EDI Policy was updated, approved 5th April 2017 and published both internally and externally.

	related to gender, race and disability to address specific issues of under-representation or lack of progression.	a tri-annual basis or when changes in legislation take place, as a matter of course. The University's Equality Objectives are included in its Equality, Diversity and Inclusion Policy and these are recommended and monitored by the Equality, Diversity and Inclusion Committee. An annual Equality Report is received by the Governors and published on the University website.				
6.2	As is the case for society as a whole, UK research will **benefit from** increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.	Turnover for research staff within the University is low with the last member of staff on a research only contract leaving in August 2017. Turnover for academic staff was 5.71% in 2015/16. All roles are recruited in accordance with the Procedures in the University's Recruitment and Selection Procedure, 2018. New and replacement roles are advertised externally unless exceptional circumstances exist. Profile of staff recruitment and appointment to all posts is monitored by HR and included in annual				

		report to EDI Committee, SMT and a summary report going to the Board of Governors				
6.3	It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.	All staff can apply for flexible working through the University's flexible working policy. 4 of the 5 posts outlined in the introduction are currently held by women. 2 of the University's 3 professors are women (the other is a black male); and the sole associate professor is female.				

6.4	Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the "early career" period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family	The University's flexible working procedures apply to all staff. Of the 5 named roles one is part time and held by a male member of staff who has reduced his hours as part of a flexible approach to retirement.					

	and work, children and career.					
6.5	It is important for employers to **respond flexibly** to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	Under the University policy, requests for flexible working are considered and authorised by the Head of HR as opposed to an individual line manager, though line managers are consulted upon to look at the impact of the request. This approach has been taken to introduce distance and objectivity to dealing with a request, and to avoid instant refusals from occurring; and that any reason for declining a request does in fact conform to a statutory reason.					
6.6	Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for	The University's policies on maternity, paternity, adoption and parental leave apply to all staff.					

	example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.						
6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should **be reflected on** selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and	The University aspires to achieve a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This is approached through the recruitment procedure detailed in section 1 and monitored through the Annual Equality Report (which is received by the EDI Committee, SMT and Board of Governors) and the annual HR Report (which is received by the University's SMT and a summary report going to the Board of Governors). The recruitment and selection procedure was reviewed by HR in 2016/17 to ensure that it remains robust and fit for purpose	The protected characteristics in relation to the research team and the Research Committee are reported in the Annual EDI Report.				

	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.						
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependents, researchers for whom English is **not a first** language, older or younger researchers, or researchers with disabilities and	1 of the current postholders is non-British. As noted above all staff have access to the University's Flexible Working Procedure and the University makes reasonable adjustments for staff with disabilities/long term health issues as a matter of course. All members of panels who make judgements about the University's research for the Research Excellence Framework 2021 have received Equality and Inclusion training from Advance HE.					

	long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.						
6.9	All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.	This is addressed through the University's inappropriate behaviour policy.					
6.10	Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.	The University does not currently participate in Athena Swann, but holds the Investors in Diversity Chartermark.	To consider whether the University should submit to the Athena Swann Charter in future		31/07/19	EDI Committee/ SMT	Athena Swann submission to be discussed at the EDI committee and a recommendation on submission made to SMT for a final decision on whether the University should prepare a submission to Athena Swann

F: IMPLEMENTATION AND REVIEW

Principal 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.

	Requirement	Current situation / gaps	Actions	Progress	Deadline	Responsibility	Success Measures
7.1	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.	The University supports the Principals of the Concordat and work on the implementation this action plan will be monitored by the Research Committee.	Reports on progress to be submitted to the Research Committee on an annual basis with a first report to be submitted to the final research committee of 2017/18		31/05/18	Chair of Research Committee	Reports received and progress against the action plan is reported
			HR will engage in national developments and initiatives relating to the Concordat and researcher development. This will be reviewed and reported on annually through the HR Annual Operational Plan and where appropriate the Annual HR report.	No questionnaires received have been relevant to the University to date	30/09/19	Human Resources	Activity will be reported in the HR report as appropriate and through the HR Annual Operational Plan

7.2	The signatories agree:		The University will participate in and support any benchmarking	No requests received		Human Resources	Any requests responded to within timeframes
	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.						
	b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.						
	c. to contribute an appropriate share of the						

|						
	costs of supporting implementation and review, including the benchmarking report. 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). 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).						
7.3	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.						
7.4	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. The funding signatories	Currently the University participates through the Head of Research's interaction with GUILD HE: RESEARCH network. The Head of HR participates in the Guild HE HR network, the NE UHR group and the Northern Universities Reward Group where issues relating to the employment of researchers can be raised. The University joined Vitae in 2016.	To engage further with Vitae and its initiatives as appropriate and needed. Engagement will be reviewed through the annual research report with the first reporting to be for the 2017/18 academic year.	The Head of Research has taken part in the Vitae Mentoring for Researcher Developers Programme pilot as well as notifying the Research Fellows about this opportunity. She has worked with a professor from the University of	30/09/18	Head of Research / Head of HR	Staff start to engage with Vitae and use its resources and attend events

	will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing			Winchester.			
7.5	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	The University takes its responsibilities under the Equality Act and Public Sector Equality duties very seriously and monitors and publishes data accordingly. Whilst the University does monitor the profile of its staff on Research only contracts, it does not publish this data due to the small numbers of staff which would allow	Responding to information sharing requests when requested and as appropriate		As requested	Head of HR / Head of Research	Respond to information requests

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.	individuals to be identified by personal characteristic. The University will participate in information sharing in ways in which individual staff cannot be identified.					

APPENDIX 1: UNIVERSITY DELIBERATIVE AND MANAGEMENT COMMITTEE STRUCTURE
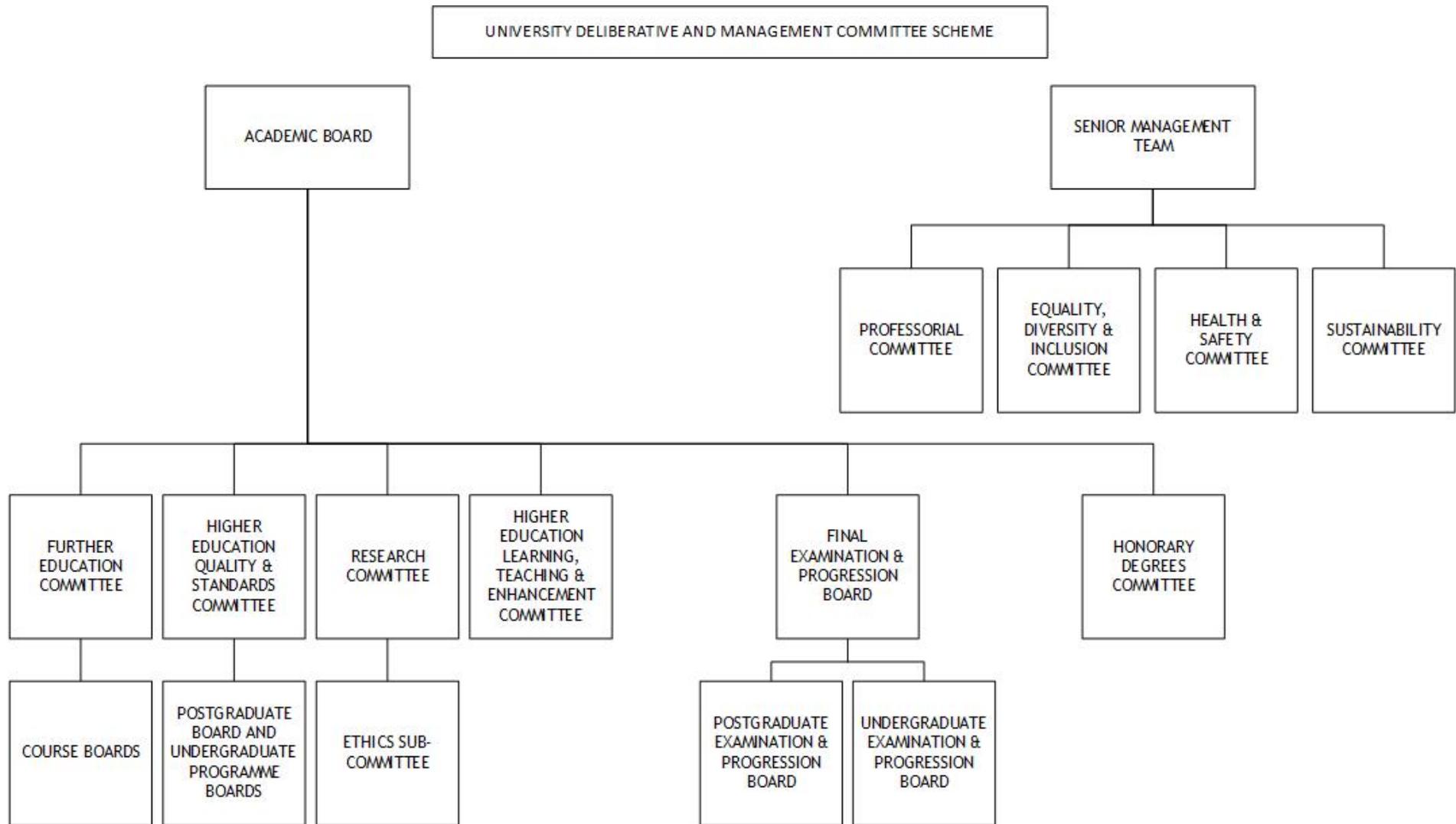
Standing meetings outside of the Committee schedule include:

- Staff Consultative Meeting
- Prevent Group
- Estates Meeting

- Marketing, International, Careers and Enterprise Meeting
- IT and Infrastructure Advisory Group