



Keele University Concordat Implementation Action Plan

Overview and background

Our research staff play a pivotal role in the University's mission to contribute positively to social, environmental, and economic agendas locally, nationally and internationally through outstanding research and teaching. Researchers are supported by one of five Research Institutes (RIs) depending on their area of expertise, who work closely with Research and Enterprise Services (RES) to provide tailored support and guidance. In addition to this bespoke support, the central Learning and Professional Development Centre (LPDC), which co-ordinates the transferrable skills training of all staff (including research staff) and doctoral researchers, provides generic development workshops to equip researchers with the personal and professional skills needed to succeed in their current role and move into others.

The internal gap analysis to compare institutional policy and practice against *The Concordat to Support the Career Development of Researchers* was led by RES, the LPDC and Human Resources (HR) in consultation with the Research Institute Directors, Managers and Postgraduate Research Directors, the Quality Assurance Office and Student Support and Development Services (SSDS), including their Careers and Employability service. The gap analysis was conducted largely through face-to-face meetings. However, research staff were consulted via an online questionnaire based on key areas of The Concordat and administered by the LPDC via the RIs. In addition to the questionnaire results, feedback gained from LPDC training evaluation forms has also been reviewed for areas in which our offer could be further enhanced to the benefit of researchers. The process of creating the action plan has afforded opportunities for sharing good practice between those involved in supporting researchers, as well as identifying gaps in our provision and areas that require strengthening.

The action plan and the implementation of the Concordat will become the formal responsibility of the University's Research Committee. The University Research Committee is chaired by the Pro Vice-Chancellor Research and Enterprise and is responsible for all matters concerning research strategy and the management, monitoring and support of research, and reports directly to the University Senate. Research Staff and Postgraduate Research Students are both formally represented on Research Committee by a member of Research Staff and the Chair of the Keele Postgraduate Association and the Keele Student Union Vice President for Education and Welfare. In addition, postgraduate research students are represented on the University Graduate School Board, which reports to the university's Research Committee and Learning and Teaching Committees, and the University-wide Research Student Liaison Committee, which was established in September 2011, and was commended as best practice in the sector in the recent Quality Assurance Agency Institutional Review which took place in 2012/13.

The entire action plan will be reviewed by the University's Research Committee at the end of 2014 and revisions will be made at that point, with new actions published for 2015.

Key action points

Areas that will benefit from further development in 2013/14 include the following:

Research staff training

In addition to maintaining the existing transferable skills training available to researchers, the LPDC will extend its 2013/14 offer to address gaps identified in the gapping and mapping process. In particular it will review its postgraduate researcher courses with a view to extending availability to the wider research community where appropriate. Additional courses will be offered including:

- Targeted personal development sessions introducing the Researcher Development Framework and Vitae resources.
- Piloting Vitae's *Making Your Mark - Introduction to Impact and Engagement* course in December 2013 and also offering the *Engaging Researcher* programme in February 2014.
- Introducing the *Springboard* development programme for women staff in 2013/14, including female researchers and research leaders.
- Offering writing for publication workshops delivered by an external expert in November 2013.

Careers support for researchers

Areas that will be strengthened include:

- better publicising career development provision and opportunities for Keele researchers locally, regionally and nationally.
- more widely promoting Vitae's career-related courses and resources.

Researcher surveys

Part of the process of producing this action plan included a researcher survey which has been beneficial to reviewing our practice. We are keen to continue gathering the views of research staff in the future via the Careers in Research Online Survey (CROS) and Principal Investigator Research Leaders Survey (PIRLS) or a local equivalent.

Glossary

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| CoP | Code of Practice |
| E&D | Equality and Diversity |
| EIA | Equality Impact Assessment |
| FTE | Full time equivalent |
| GSB | Graduate School Board |
| HR | Human Resources |
| ILM | Institute of Leadership and Management |
| LPDC | Learning and Professional Development Centre |
| MAC | Marketing and Communications |
| PGRDs | Postgraduate Research Directors |
| PGR | Postgraduate Research Student |
| PVC R&E | Pro Vice Chancellor Research and Enterprise |
| RDF | Researcher Development Framework |
| REF | Research Excellence Framework |
| RES | Research and Enterprise Service |
| RI | Research Institute |
| SPRE | Staff Performance Review and Enhancement |
| SSDS | Student Support and Development Services |
| UEC | University Executive Committee |

Concordat Implementation Action Plan

Text in green is from the *Concordat*.

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 |
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| Keele's recruitment and selection procedures reflect the aspects set out in Principle 1. The procedures, including selection panel composition, ensure a broad yet balanced | Current policy and practice is already compliant with the Concordat and should be maintained, subject to review. | Human Resources (HR) Academics and other staff involved in the recruitment process | Established | HR will review current policy in November 2014 |

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| panel. | | | | |
| The Recruitment and Selection workshops include detailed discussion regarding the importance of person specifications. | HR to introduce an e-Learning course covering the writing of Job Descriptions and Person Specifications to ensure that staff understand their importance and how to eliminate discrimination. | HR Academics and other staff involved in the recruitment process | The e-Learning portal will be piloted in August-September 2014. Job Description and Person Specification e-Learning course is being written. | HR will review the e-Learning course in December 2014. |
| The Post Approval Form, which is required for all posts, includes a requirement for recruitment managers to record the reasons for a Fixed Term Contract (FTC). | Current policy and practice is already compliant with the Concordat and should be maintained. | HR Recruiting Managers (via HR workshops) | Established | HR will ensure the new HR/Payroll system incorporates a requirement to record the reasons for FTCs. It is expected that the new system will be live in July 2014. |
| The diversity profile of recruitment and promotion/rewards panels is reported to the University Executive Committee (UEC) on a biannual basis. | Management information of diversity profiles to be reviewed by HR. Reports to UEC to continue. | HR UEC | Reviewing of diversity profiles is already established but provision of reports to UEC is newly established. | HR will review the reports that are provided to UEC in January 2014. |
| Keele does not permit staff to take part in the selection process until they have completed the Recruitment and Selection workshop. Panel members are based on expertise and experience and a mixture of gender is | Current policy and practice is already compliant with the Concordat and should be maintained. | HR Recruiting Managers | Established | HR will review the current policy in November 2014. |

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| achieved to ensure a fair panel. | | | | |
| During the Recruitment and Selection workshop, managers are encouraged to provide feedback to unsuccessful candidates to assist them with future applications/selection processes. | HR to continue to coach managers on the requirement for feedback. Selection panels to provide feedback to unsuccessful candidates. | HR Selection panels (via HR workshops and one-to-one coaching with managers.) | Established | HR will review the current workshops in December 2013. |
| The University adopted the single pay spine as part of the National Framework Agreement. Researchers are paid on the single pay spine with the appropriate grade determined through Job Evaluation panel and the Hay grading methodology. | Current policy and practice is already compliant with the Concordat and should be maintained. | HR (in conjunction with Finance) | Established | HR review the single pay spine on an annual basis around December each year. |
| Academic colleagues recruited to the University who do not hold a higher degree are eligible to apply for admittance to an appropriate Masters or Doctoral level programme. Applications are scrutinized in the same way, irrespective of whether the applicant is a member of staff and the process conforms to indicator 6 of chapter B11 of the Quality Code. | Current policy and practice is already compliant with the Concordat and should be maintained. | School Manager/Head of Service | Established | This is reviewed on a case by case basis. |

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 strategy at Keele | Any action to be taken | By whom | Progress | Review |
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| The Successfully Managing a Research Award workshop contains information on | Current policy and practice is already compliant with the Concordat and should | HR and LPDC | Established | Review has led to a revised format for delivery in February 2014. |

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| <i>inter alia</i> People Management for Principal Investigators, including managing staff on fixed-term contracts. | be maintained. | | | |
| The LPDC delivers annual courses on team management and leadership accredited by the Institute of Leadership and Management (ILM). | LPDC reviewed attendance and relevance of the courses for Principal Investigators and research managers in 2012/13. | LPDC | LPDC are introducing new management and leadership programmes in 2013/14 under the auspices of the Leadership Academy | LPDC will establish an oversight group to review and monitor management and leadership provision by the Leadership Academy in July 2014. |
| Colleagues wishing to be considered a supervisor for Postgraduate Research (PGR) students are required to undergo an introduction to supervision and mentoring. The programme is co-ordinated by the LPDC and RIs with oversight and monitoring by GSB. | The training and knowledge transfer is guided by the Code of Practice on Postgraduate Research Degrees which is itself aligned to the UK Quality Code for Higher Education, published by the QAA. Regular review and updating is required. | LPDC and cross-University delivery team. | Established | Review is annual in May. |
| 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. | 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 active performance management through the Staff Performance Review and Enhancement (SPRE). | Current policy is compliant with the Concordat. | HR | Established | We will monitor the use and effectiveness of SPRE for researchers in July 2014 although this may change if a new SPRE is introduced. |

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| HR have recently developed a new workshop for managers to provide a better understanding of key HR process and enable them to deal with people issues at the informal level. | This is available to all managers and aspirant managers who wish to progress their careers. | HR & LPDC | Established. Positive feedback has been received from a wide variety of participants. | A review of the workshop will be conducted in August 2014. |
| We have a redeployment process in place which includes researchers who are approaching the end of their contract. This is used successfully by many colleagues to secure continuity of employment at the end of a contract. | Current policy and practice is already compliant with the Concordat and should be maintained. | HR Recruiting Managers | Established. This is used continually for colleagues at the end of FTCs or those at risk of redundancy following a restructure. The redeployment process has successfully maintained employment for many colleagues. | The policy for redeployment is currently being reviewed although this will maintain the inclusion of researchers in the redeployment pool. The new policy will be published by November 2014. |
| The policy for pay progression and the Keele Pay Spine are available through the internet. Researchers enjoy the same benefits as other academic staff on the same grade. | Current policy and practice is already compliant with the Concordat and should be maintained. | HR | Established | HR review the single pay spine on an annual basis, around December each year. |
| 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 to December each year. |
| The Staff Development Strategy outlines Keele's commitment to the on-going | The Staff Development Strategy is due to be revised and updated in 2013/14. | LPDC | Reporting due in 2014 for a new strategy going forward from 2015. | The Staff Development Strategy is being updated with a first draft complete |

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| training and career development of all its staff, including researchers. | | | | for July 2014 |
| Where colleagues conduct research and/or supervise research degrees this is often supported by a fractional buyout. This enables the Workload Allocation Model to take account of their research activities and reduce their teaching loads accordingly. | Current policy and practice is already compliant with the Concordat and should be maintained. | School Managers/Heads of Service | Established | Fractional buyout is conducted by the Manager on an individual basis and in conjunction with the RI. |

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.
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 |
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| LPDC formed in May 2011 to provide oversight and co-ordination of central University provision of training and development opportunities. Notional 0.5 FTE developer time allocated to researcher development activities. | The LPDC will extend its transferable skills training for researchers in 2013/14. In particular it will review its postgraduate researcher courses with a view to extending availability to the wider research community where appropriate. | LPDC | Established and on going training being reviewed and further developed | LPDC review the central researcher training provision annually (May to June). Postgraduate researcher engagement with provision is reported to Research Student Liaison Committee quarterly. Similar reporting processes are established for research staff through the Athena SWAN Self-Assessment Team. |
| The current training offer for | The LPDC and PGRDs map | LPDC, PGRDs | Established | Annual review of training in |

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| postgraduate researchers is mapped to the RDF, centrally by the LPDC and locally by RIs and publicised in the 2013/14 PGR Research Training Handbook | centrally-provided researcher training to the RDF LPDC to conduct a gap analysis of the training offer | | | May/ June and update of handbook each September. |
| Tailored staff support around specialist areas such as research impact is provided by the RIs and RES via presentations, individual advice, group meetings and webpages. | LPDC has been working with RES to plan workshops on research impact. Most recently, we have successfully applied for a pilot of Vitae's <i>Making your Mark - Introduction to Impact and Engagement</i> course | LPDC | <i>Making your Mark</i> pilot will take place in December 2013 LPDC also offering Vitae's <i>Engaging Researcher</i> programme in February 2014. | LPDC to incorporate the courses into our annual offer. |
| Distinctive Keele Curriculum development strand mapped to the RDF and offers some opportunities for personal development of postgraduate researchers through workshops and online study. LPDC and SSDS have joint co-ordination of thematic development days for postgraduate researchers focused on transferable personal and professional capabilities | The creation of a fixed-term working group on PGR skills development, in part to co-ordinate integration of development strand offer and development days into the central skills development offer for postgraduate researchers. | LPDC | Terms of reference and membership to be established. | Working group to meet before the end of 2013. Updates on postgraduate researcher training to RSLC three times per year and regular strategic discussion at GSB. |
| New staff induction is both local and central. An LPDC | The availability of an online learning platform for staff | LPDC | Established and on going training being reviewed and | Implement any changes to researcher induction for |

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| induction checklist is used locally by Schools and RIs for new staff who are also required to attend central training – the Keele Knowledge Programme. | development from 2013/14 allows for some reconsideration of the delivery of the induction programme. | | further developed | September 2014. |
| An annual induction in September welcomes new postgraduate research students with local RI induction for those that join all year. SSDS are creating an online induction space to introduce the KLE to new students. | Fixed term working group on PGR skills development in part to co-ordinate integration and ensure relevancy and currency of postgraduate researcher induction materials and linkage to on-going training and support. | LPDC | Terms of reference and membership to be established | Updates on postgraduate researcher training to RSLC three times per year and regular strategic discussion at GSB |
| Keele takes part in the biannual Postgraduate Research Experience Survey (PRES) and uses the data to inform policy and practice to improve the postgraduate research student experience. | In 2012/13 academic year, responsibility for administering the survey and reporting outcomes lay with MAC | MAC | Data has been analysed and sent to the Senior Management Team and Committees and the LPDC. | PRES engagement is biannual and discussed at GSB, which meets three times a year. |
| Careers and Employability (In SSDS) provides information, advice and guidance to postgraduate researchers and Keele Alumni. LPDC offer careers sessions to staff, such as Preparing for Interviews. LPDC and SSDS (Careers and | Review Careers and Employability webpages to offer information and access to career planning resources Enhance and publicise career development provision and opportunities for Keele researchers locally, regionally and nationally, including greater promotion | LPDC and SSDS | Annual email to be sent to RIs each October for distribution to their researchers to highlight resources and workshops within and outside of Keele. Careers signposting to be incorporated into the LPDC induction presentation for PGRs | Annually, each October |

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| Employability) collaborate to deliver Vitae's <i>Broadening Horizons: Career Management for Researchers</i> course. | of Vitae courses and resources such as their <i>Career-Wise Researcher</i> booklet. | | | |
| The University maintains a Code of Practice on Postgraduate Research Degrees which all colleagues engaged in the supervision of research students are required to adhere to. This helps the University to comply with the expectation set out in chapter B11 of the Quality Code and ensures that research colleagues have accessible and clear guidance to support them with their responsibilities. Briefings on updates to the Code are held. New staff are introduced to the Code through the mandatory Supervisor Development Training Programme. | Further development of online resources so that guidance for colleagues supervising research students is available on demand. | Quality Assurance Office and LPDC | During 2013/14 | LPDC are piloting online training review/ monitoring protocols, September-December 2013. |

Section 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.

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 strategy at Keele | Any action to be taken | By whom | Progress | Review |
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| 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 Policy and Procedure. | HR | Established | We will monitor the use and effectiveness of SPRE for researchers in July 2014, although this may change if a new SPRE is introduced. |
| Mentors provided by Research Institutes to new research staff. LPDC resources for mentoring available on the LPDC webpages and open training sessions are regularly provided. | Ensure Research Institute mentors know about the Mentoring at Keele open workshops. | LPDC | Established | Annual review of training and services, May-June. |
| SSDS (Student Support and Experience) with LPDC have introduced peer mentoring | Align mentoring to Institute of Leadership and Management accreditation | SSDS | Peer mentors recruited and training provided in August and September 2013 | Graduate School Board to receive interim report in February 2014 of process |

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| for postgraduate researchers for 2013/14. | that is available to students and Volunteering Award. | | | and engagement. Full review in May 2014 of the extent and effectiveness of the first year of operation of the PGR peer mentoring system. |
| A suite of teaching development workshops and courses are available to researchers, including HEA accredited provision aligned to the UK Professional Standards Framework. A further Continuing Professional Development (CPD) portfolio route is being developed for 2013/14 which will also be available to staff and research students. | Submission for HEA (re) accreditation due in 2013/14 for existing routes (PG Certificate) and new CPD portfolio route. | LPDC | Established | Provision is subject to three-yearly re-accreditation cycle. PGCert is subject to annual CARD review in April 2014. All other courses are annually reviewed as part of the LPDC training portfolio monitoring process in May to June. |

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.
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 strategy at Keele | Any action to be taken | By whom | Progress | Review |
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| The University publishes a Code of Good Research Practice which is updated biannually. The most recent update was agreed by Research Governance Committee in April 2013 | Promote and disseminate updated Code of Practice. | RES | Established | Next update is due in April 2015. |
| There is an established mechanism in place for the ethical review of staff and PGR student projects which is compliant with ESRC Framework for Research Ethics 2012. Information and guidance is available on the University Ethics Web Pages and from the Research Governance Officer. | Ethics briefings to be introduced to the Keele Knowledge Programme in 2013/14. Introduce a light touch review process for projects that generate no or very minimal ethical concerns. Develop the ethics review | RES | Established | Annual review as part of the LPDC researcher training monitoring in May-June. |

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| | process into an on-line process during 2013/14. | | | |
| Information, advice and guidance on a range of research areas are available from RES. LPDC administer and co-ordinate some RES training and commission and deliver other research-specific training. | RES and LPDC are working together to review and where necessary revise training and development working practice and offer for researchers and undertake a gap analysis of provision | RES and LPDC | Commencing 2013/14 | Report forward to PVC (R&E) by May 2014 |
| LPDC has updated generic personal development sessions to better meet different staff group needs, including researchers | Targeted personal development session introducing the RDF and Vitae resources | LPDC | Delivery in 2013/14 | Annual review as part of the LPDC researcher training monitoring in May-June. |
| 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 RES | Established | This is due for review in July 2014. |

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 strategy at Keele | Any action to be taken | By whom | Progress | Review |
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| The University has a strategic commitment contained within its Equality Objectives to progress the University towards Silver | The University Athena SWAN Action Plan is in place and the Self-Assessment Team meet regularly to steer its implementation and monitor | Athena SWAN Self-Assessment Team chaired by Dean and PVC | The University currently holds the Bronze Award. Three Schools hold silver awards. Two schools hold bronze | The Athena SWAN Silver and Bronze award renewals are due in April 2014. The Self-Assessment Team meets every two months to |

| Current policy and strategy at Keele | Any action to be taken | By whom | Progress | Review |
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| Status of the Athena SWAN Charter. The University has a dedicated resource for an Athena SWAN Officer. | progress. Schools have also set up their own self-assessment teams and are in the process of developing schools plans. | | awards. | review the action plan and analyse gender data. |
| The University has a commitment to support gender equality and make opportunities available to women researchers and leaders | The LPDC has introduced the <i>Springboard</i> development programme for women in 2013/14 and is fully supporting the Leadership Foundation for Higher Education <i>Aurora</i> programme. | LPDC | Delivery in 2014 for the first time. | Annual review as part of the LPDC researcher training monitoring in May-June. |
| The University Equality Strategy and Equality Objectives are in place in compliance with the Equality Act 2010 and Equality Duty regulations | A supporting Equality Action Plan was reviewed and is due to be refreshed for 2013/14. | Equality and Diversity Reference Group | A full annual progress review against the Equality Action Plan was undertaken and reported to the E&D Committee in April 2013. | The Equality and Diversity Reference Group monitors progress against the implementation of the University Equality Action Plan and progress is reported annually to the April meeting of the Equality and Diversity Committee of Council |
| The University has a strategic commitment towards internationalisation and to fostering good | To hold the following Equality Events in 2013/14: *Health and Wellbeing Week *Keele World Festival | The Equalities Manager | The University has hosted a range of awareness and engagement events on equality and diversity | Attendance at events is monitored. An evaluation of Keele's equality events was |

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| relations on campus. | *International Women's Day *Dignity and Respect Day To improve attendance at events | | themes that has successfully brought staff and students from all backgrounds together. | undertaken and reported to the Equality and Diversity Reference Group in April 2013. Date of next review/evaluation is November/Dec 2013 |
| The University has an established process for undertaking Equality Impact Assessments on its policies and functions | The University is committed to continually improving its practice and performance in relation to EIA's and will establish a process for quality assuring all EIA's to ensure compliance with legislation | The Equalities Manager. Leads and Editors of EIAs. Human Resources Links. | Established | Progress on the University's performance on completion of EIA's is reported to the E&D Committee of Council, where recommendations for improving practice are discussed. Last reported November 2013; next report April 2014. |
| Family friendly working policies and the Keele Day Nursery | Current policy and practice will be maintained | HR | The University has a good success rate of staff returning to work following a period of maternity leave The Keele Day Nursery underwent a substantial refurbishment and offers staff and students access to onsite childcare provisions. The nursery recently scored | HR policies are equality impact assessed and reviewed. Every policy undergoes EIA prior to publication, and the EIA is reviewed on the policy renewal date every 2 years. |

| Current policy and strategy at Keele | Any action to be taken | By whom | Progress | Review |
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| | | | a 'good' in it Ofsted inspection rating | |
| The University Dignity and Respect Framework sets out how the University and its staff and managers uphold the values and ethos of the University and work towards fostering a culture of dignity and respect. This Frameworks sits alongside the University's Bullying and Harassment Procedures | The Framework will be implemented through training, induction, and integration into job descriptions. | HR, All staff | The Framework was launched and supported by a range of presentations and workshops as part of Dignity and Respect Day. | The Framework is being reviewed and refreshed by HR for January 2014. |
| The University is committed to ensuring its 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. A range of bespoke training has also been undertaken throughout the year. | <p>Launch of the e-learning pool for staff to access e-learning modules on a range of equality and diversity areas and the development of E&D embedded practice in online course development</p> <p>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.</p> | HR and LPDC | <p>Established.</p> <p>Equality and Diversity elements feature in every welcome session of Keele knowledge programme</p> <p>Bespoke training provided: E&D in admissions for Schools of Nursing & Midwifery, Medicine, Health and Rehabilitation.</p> <p>E-learning modules in development for School Pharmacy</p> | <p>HR review the forthcoming training programmes every January and July to ensure sufficient capacity exists.</p> <p>LPDC annually review training in May-June.</p> |

| Current policy and strategy at Keele | Any action to be taken | By whom | Progress | Review |
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| Recruitment and Selection policy and processes and equality monitoring | Current policy and practice will be maintained | Equalities Manager Human Resources | Analysis of recruitment and selection information indicates no barriers to recruitment and selection for any protected group. All staff who attend interview panels attend mandatory recruitment and selection training to ensure the fair selection of staff | Annual staff equality monitoring information is reported in April 2013 to the E&D Committee of Council and published on the University web pages |
| The University supports staff equality networks: LGBT network, BME network, and disability network to ensure staff are supported and have the opportunity to be involved in shaping University decisions | Action will be taken to improve participation in staff networks | Equalities Manager | Staff equality networks have supported the University's equality events, and have been involved in University consultations on new policy | A verbal report on the progress and activities of the staff equality networks is taken to the E&D Committee of Council, which meets twice a year. |
| Research Excellence Framework Code of Practice | The University will publish its Equality Impact Assessment on the REF 2014 submission | Equalities Manager Research Excellence Services | The REF COP was developed with fairness, equality, and inclusion at the core of the document and University approached. The COP was reviewed and accepted by external funding agency HEFCE. | Research and Enterprise Services will review its COP and the associated EIA after REF submission to establish whether anything could have been improved to ensure and enhance equality. |