HR Excellence in Research Review (2016-2018): Updated August 2018

A. Recruitment & Selection (R&S)				
Principle 1. Recognition of the importance of recruiting, selecting and retaining RS with the highest potential to achieve excellence in research				
Clause	**Action**	**Deadline**	**Responsibility**	**Progress and Success Measure at August 2018**
1.1 *All members of the UK research community should understand that RS are chosen primarily for their ability to advance research at an institution.*	1.1 University to publish a 'Research Success' clear strategy and vision.	Sept 2016	PVC R&I	Done. The University's 'UEA2030 Vision' includes the theme of 'Research Success' as a clear strategy to 'increase the volume and impact of our research' while 'most importantly, continuing to 'recruit, develop, support and celebrate our world class RS and academics'.
1.2 *Employers should strive to attract excellence and respect diversity. 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.*	1.21 HR to publish updated guidelines on Recruitment & Selection (R&S), including Equal Opportunities in employment. 1.22 To increase CROS R&S transparency for 2017 (via the improvements made to HR R&S published guidelines). 1.23 Athena SWAN Awards for all Schools.	Sept 2016 May 2017 Sept 2020	HR Manager HR Manager Head of E&D	1.21 Done. Vacancy information and person specifications clearly identify the essential and desirable criteria required for Research roles including specialist research skills, transferable skills and personal attributes **here** The diversity profile of RS recruited to the University is monitored as part of Athena SWAN. 1.22 Done. CROS 2015=71% CROS 2017=76%. 1.23 11 of 19 UEA Schools have Athena SWAN awards and all remaining Schools are in the process of submission and aim to have awards by 2020**.** Awards since 2016 are: School of Biological Sciences (Silver, November 2016), School of Chemistry (Bronze, April 2016), School of Economics (Bronze, April 2017), School of Environmental Sciences (Silver, April 2017, School of Politics, Philosophy, Language

	1.24 UEA policy to recommend online training for all staff involved in R&S is undertaken/ refreshed (I.e. by biennial update). However, "as a minimum, the Chair and one other senior member of the selection panel will have received training within the previous two years".	July 2017 (annual review)	HR Manager	and Communication Studies (Bronze, April 2016), School of Pharmacy (Bronze Renewal, November 2016), School of Health Sciences (Bronze Renewal, November 2016 Number of UEA Staff attending appropriate training: 2015-2016 Recruitment/interview (352) & Appraisal (121), 2016-2017 Recruitment/interview (355) Appraisal (304). *(NB: This particular SMART can only measure training undertaken by all UEA staff).* All documentation relating to R&S, including links to Equal Opportunities policies can be found here.
1.3 *Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.*	1.31 To increase the proportion of CROS respondents reporting to being employed on open-ended (permanent) contracts.	July 2017 (annual review)	HR Manager	HR reviews the number and reasons for use of fixed-term contracts for RS. CROS (2017) data revealed 72% of RS were on fixed-term contracts with an increasing number on very short-term contracts, e.g. bridging (ref. CRAC '5 Steps Forward') analysis available on Vitae website. (CROS 2013= 18.8% respondents, 2015= 42.2% respondents), 2017=13% respondents. Given the current economic climate it is very likely that this is an unrealistic SMART objective. *Advice will be sought from Vitae whether this SMART objective should be removed following the impact of Brexit.*
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*	1.41 To update and publish online University's Equal Opportunities Code of Practice to ensure fairness, consistency and best practice in recruitment and progression panels.	Sept 2016 (annual review)	HR Manager	Done. The University's Equal Opportunities Code of Practice states that wherever possible membership of recruitment panels should include both genders and reflect the diversity of candidates **here** UEA policy recommends R&S online training for all staff involved in R&S (with those who have received R&S training sent a reminder to update their training every two years). As a minimum, the Chair and one

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promote these values, individuals who are members of recruitment & 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 RS in considering their further career development.				other senior member of the selection panel must both have received R&S training within the previous two years. This process is monitored to ensure training is refreshed every two years **here** Feedback is available to interview candidates via the Chair of the interview panel. All those who wish to receive feedback are able to do so. The University has guidelines on appointment of named RS on research funding applications. HR managers consult with the Schools to ensure these guidelines are adhered to. From 2016, recruitment information must take place via approved templates; these are also used to provide feedback on the outcome of shortlisting and interviews so that comments are structured around the essential criteria for each role.
1.5 *The level of pay or grade for RS should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.*	1.51 To ensure benchmarking with HERA framework.	July 2016 (annual review)	HR Manager	Done. HR will continue with HERA and use of standard role descriptors.

B. Recognition and Value (R&V)				
Principle 2. RS are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.				
Clause	**Action**	**Deadline**	**Responsibility**	**Progress and Success Measure at August 2018**
2.1 *Employers are encouraged to value and afford equal*	2.11 The University to revise and implement its own Code for Management of Research Staff.	Sept 2016	CCEN/CSED and PVC R&I	Done. In July 2016, the University has implemented its own Code for RS in consultation with RS representatives that echoes the Concordat's

treatment to all RS, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of RS is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.				principles on Recognition and Value. These guidelines can be adapted at School level here. Appraisal for all staff, including RS, is mandatory. PIs ensure that appraisals are effective and address work practices, problem solving and a career development review **here** HR led the revision of the University Code of Practice for the Management of RS with feedback from all members of the RSWG. **here**. HR, with feedback from the RSWG, developed 3 new guiding documents for the annual appraisal of RS **here** The University raises awareness amongst PIs of the Concordat's commitment to the provision of training and development opportunities. Training and development opportunities are provided for RS, both as access to general courses as well as specific courses and career advice.
	2.12 Increase in the percentage of CROS (2017) respondents reporting that they feel integrated into the institution research community following HR email communications to HoS.	May 2017	CSED/CCEN and PVC R&I	Increase in the percentage of CROS (2017) respondents reporting that they feel integrated into the institution research community to ~75% (CROS 2015=50%). CROS 2017=69% (19% increase although lower than ~75% target).
2.2 *Commitment by everyone involved to improving the stability of employment conditions for RS and*	2.21 HR policy to be adopted throughout the University.	Sept 2016	HR Manager	HR policy that has been adopted throughout the University can be found **here**

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 RS, research managers, and their organisations.	2.22 RSAN to monitor the extent to which RS agree that they are treated equally with other types of staff.	May 2017	RSAN	Done. RSAN has monitored the extent to which RS agree that they are treated equally with other types of staff. There was a 6% increase from CROS 2015= 85% to CROS 2017= 91% in respondents agreeing they are treated equally regarding flexible working, and agreement regarding access to training and development increased from 90% to 91%. Opportunities to participate in decision making processes also increased significantly from 56% to 67%, well ahead of the sector. However, Visibility on websites and staff directories showed a marked decrease (2015=80% to 2017=66%).
	2.23 All Managers should have completed Appraiser Training.	July 2017 (annual review)	HR Manager	CSED database shows marked increase; (2015-2016 =121 completed training, 2016-2017 =304 completed training).
	2.24 Target of a minimum ~80% staff to have completed /refreshed their on-line 'Diversity in the Workplace' training	July 2017 (annual review)	HR Manager	CSED database shows a marked increase; between 2015-16, 794 staff undertook the training, between 2016-17; 1520 undertook the training which is a 91% increase.
2.4 Organisational systems must be capable of supporting continuity of employment for RS, such as funding between grants, other schemes for supporting time between grant funding, or systems for	2.41 To update the University's organisational systems that offer support to RS of continuity of employment.	July 2017	HR Manager	Done. All those approaching the end of a fixed-term contract have the opportunity to sign up to the University's Redeployment Register. RS whose funding does not immediately follow on from their existing employment might be offered alternative casual or associate tutor work, where the need for such work exists, which will allow continuity of employment to be preserved.

redeploying RS 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.				The new 'Code of Practice for the Management of RS' (section 3) provides guidance on all stages of appointment of RS from recruitment to the end of their contract. Further information on policies and procedures can be found on the HR webpages here All contract end dates are monitored. All staff are notified about the end of their fixed term contract and are advised about the process and available options, including redeployment opportunities. Monitoring of funding expiry dates and notification of end of funding to PIs and RAs prompts consultation to ensure RS on fixed term contracts are supported and that alternative employment is identified where possible. Bridging funding will be explored (where funding opportunities permit).
2.5 *Pay progression for RS 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.*	2.51 To ensure that pay progression is applied in accordance with the local implementation of the Framework Agreement.	July 2017	Head of E&D	Done. Pay progression has been applied in accordance with the local implementation of the Framework Agreement. Clear guidelines on Promotions Procedures and Criteria for RS are published on the University HR website. The Gender Pay Gap report is published online. Equal Pay Audits are all now online and the last Equal Pay Audit was completed in 2017.

Clause	Action	Deadline	Responsibility	Progress and Success Measure at August 2018
2.6 *RS needs 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 RS are outlined in organisational HR strategies.*	2.6.1 Revised appraisal guidelines direct the managers of research staff to ensure appraisals include discussion of career intentions, and how training and development opportunities in the current role could help to meet these intentions. Aim to increase proportion of CROS (2017) respondents reporting that appraisal has been 'useful' in 'helping to focus on career aspirations and how these are met by the current role' to ~70%.	May 2017	HR Manager	CROS 2015=55%, 2017=66%. Although target not quite reached UEA still above Sector average of 61% in 2017. Job opportunities are advertised in open competition on the UEA website, for which any suitably qualified individual may apply.

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.				
Clause	**Action**	**Deadline**	**Responsibility**	**Progress and Success Measure at August 2018**
3.1 It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all RS will be able to obtain such a position. It is, therefore, imperative that RS positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to	3.1.1 To increase RS engagement with one-to-one careers guidance from 2015-16 level of 7% to a target of 15% by August 2018 by service marketing campaign (including informal presentations to School-level RS forums where possible), and inclusion of links to careers support in school induction handbooks.	August 2018	CCEN	CCEN CRM data shows increase in one-to-one appointments to only 8%, although CROS 2017 revealed 11% increase respondents reporting to have attended any CCEN course, event or appointment in last 12 months (from 16% in 2015 to 27% in 2017). Of those who attended 'Useful' rating ranged from 81%-100% across the categories of career topics. Qualitative CROS feedback showed there is still a lack of awareness of CCEN services for RS. PIRLS 2017 revealed only 16% PIs had referred any member of RS to CCEN in the past 12 months.

permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.				UEA was an early adopter of equal terms and conditions for its fixed-term staff and of moving individuals to indefinite contracts The University encourages individuals to develop, by providing training courses specific to RS and allowing them to attend any open access training course. A broad range of career and personal development training courses are offered by the University, and these are regularly reviewed in terms of content and relevance.
3.2 A wide variety of career paths is open to RS, 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 RS careers and that all career paths are valued equally.	3.2.1 To collate data to monitor the specific destinations of RS, in addition to the monitoring data required by HESA.	July 2018	HR Manager	Done. The data collected demonstrate a mix of career paths being adopted by those leaving UEA**.** Those who wish to seek further appointments at UEA are encouraged to apply for appropriate vacant posts, and the University operates a redeployment register to assist those approaching the end of their fixed-term contract in achieving an interview for a vacant post that has been applied for**.** UEA operates a 'three strand' career path; within which transfers between Academic, Teaching and Research (ATR); Academic Teaching and Scholarship (ATS); and Research is possible**.**
3.3 Employers, funders and RS recognise that RS need to develop transferable skills, delivered through embedded training, in order to stay	3.3.1 To ensure RS develop transferable skills through embedded training.	July 2017 (annual review)	CSED	Done. CSED provides comprehensive training on all aspects of personal and professional development for all staff and the RSConnect' programme for RS is mapped against the RS Development Framework**.** Training and development opportunities (both internal and external) for RS are communicated and

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, RS also need support to develop the communication and other professional skills that they will need to be both effective RS and highly-skilled professionals in whatever field they choose to enter.				promoted centrally, via School / Faculty RS Co-ordinators (RSCs), a monthly eBulletin and through individual email accounts.
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.	3.4.1 To increase promotion of careers support specifically available to researchers via development of Research specific employer / alumni events programme (New Horizons), inclusion of information in school-level RS induction handbooks and monthly 'New Directions' ebulletins . Aim to increase engagement of RS with CCEN.	July 2018	CCEN	Done. 8% of the current RS cohort had a one to one careers guidance appointment during the period September 2017-July 2018, and 18% attended one or more CCEN organised event (includes career management workshops, employer workshops, alumni presentations, and career skills workshops.
3.5 RS benefit from clear systems that help	3.5.1 Appraisal guidelines promoted by HR at School and Faculty level to ensure appraisals	May 2017	HR Manager	Significant improvements made. CROS (2017) reports 1% increase in participation rates, still just

them to plan their career development. Employers and funding bodies should assist RS 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 RS are aware of local and national career development strategies.	take place on an annual basis, and direct the managers of research staff to include broader career and T&D considerations a part of appraisal conversations.			ahead of the sector. There has been an increase in respondents reporting appraisal as 'useful' overall from 2015=60% to 2017=70% (sector still at 62%), with a further 11% increase in respondents reporting appraisal has been 'useful' for helping to focus on career aspirations and how they are met in the role (2015=55% to 2017=66%).
3.6 Employers should provide a planned induction programme for RS, 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 RS and encourage them to maintain or start their continuous professional development.	3.6.1 Research Staff co-ordinators to liaise with PIs and School-level support to develop local and Faculty-level induction processes. CSED to review relevance / content of 'Introductory Conference' to research staff and invite all new starters via email. Aim to increase the percentage of CROS 2017 respondents reporting induction at all tested levels to have been 'useful', with target to be comparable with sector.	May 2017	RSCs, PIs and CSED	Done. CROS 2015 Institutional wide=30%, Faculty=42% Local=60%. CROS 2017 Institutional wide=42%, Faculty=47%, Local=57%. This equates to a 12% improvement on Institutional wide, and 5% on Faculty wide induction. An online UEA induction module is available for all staff here. UEA has also developed induction guidelines which can be adapted at school or departmental level. CSED provides access to mandatory online training modules that can be accessed here. In addition, morning face-to-face inductions for new staff occur three times per year. All RS are given information relevant to their appointment as part of their offer of employment.

3.7 Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage RS to acquire and practice those skills. For example, RS may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other RS and students.	3.7.1 SDO-R to work with RSCs to undertake school-level focus groups with RS in order to tailor / develop CSED programme to meet RS needs. Programme details promoted on-line and in institution and school-level staff bulletins and directly via RS Connect bulletin. Aim to increase engagement in training and development activities reported by RS.	July 2018	CSED & SDO-R	Done. CROS 2017 results showed 79.5% RS employed less than 1 year (19% of RS) accessed 2 or more days CPD activity since being employed. This compares favourably with 64% all RS respondents spending the recommended 2 or more days on CPD activity in the past 12 months. However, this cohort were significantly less likely to have undertaken training related to E&D or Ethical Research conduct, compared to all RS. 44.3% all RS participated in 5+ days CPD exceeding the sector average of 34%. In the 2016-18 action plan aim for all CSED courses to achieve an overall training satisfaction score of 3.7 or more (out of 5). This objective has been exceeded with overall RS satisfaction score of 4.33 out of 5 (CSED database). Formal career guidance and training is provided and opportunities for attaining new skills are discussed as part of appraisal. Faculties ensure that RS are recognised and valued as partners alongside permanent staff in the research endeavour and encouraged to engage in wider academic and collegiate activities e.g. research seminars, research meetings, relevant staff meetings, and appropriate managerial and supervisory activities. CSED continues to map the training provision it offers to RS against the RDF. RSCs, in conjunction with Faculty Associate Deans for Research (ADRs), annually report back to the PVC R&I regarding how RS are recognised and valued at a school/Faculty-level.

3.8 Employers also should provide a specific research career development strategy for RS 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 RS. All RS should be familiar with such provisions and arrangements.	3.8.1 School or Faculty-level development of mentoring support for academic and RS, including development & promotion of training for mentors offered through CSED. To increase percentage of CROS respondents indicating that they have undertaken mentoring to at least 20% by 2017.	May 2017	Head of E&D, RSCs (in conjunction with Athena SWAN)	Done. Percentage of CROS respondents indicating they have undertaken mentoring increased 12.3% from 2015=15% to 2017=27.3%. There has also been an increase from 35% to 42% of RS reporting to 'Mentor and support other RS'. UEA has a coaching network available to all staff. School notice boards are utilised to publicise further opportunities for skill and career development. UEA is part of the wider Norwich Research Park and has supported the implementation of ResNET a contact, support and information network for RS working in research or supporting research in the NRP. In larger Schools, RS also meet regularly with RSCs to raise and tackle issues around career development and support.
3.9 Research managers should actively encourage RS to undertake 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	3.9.1 Revised guidelines for appraisal of research staff to clarify that broader career and T&D considerations should be included as routine part of appraisal conversations . Aim To increase percentage of CROS respondents reporting appraisal as being useful 'in leading to training or other CPD opportunities in line with the sector.	July 2017	HR Manager	Done. Percentage of CROS respondents reporting appraisal as being useful 'in leading to training or other CPD opportunities' has increased from 51% in 2015 to 57% in 2017 (sector=54%).

individual strengths and talents, and increasing the skill and effectiveness of RS in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of RS is a significant contribution to research output and they encourage employers and mentors to adopt these practices.	

Principle 4. The importance of RS's personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.				
Clause	Action	Deadline	Responsibility	Progress and Success Measure at August 2018
4.10 *RS should be empowered by having realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all RS for assessing their*	4.1.1 To improve monitoring of RS appraisals to ensure uptake / engagement with process. Aim to increase percentage of CROS respondents reporting to have undertaken appraisal within last 12 months.	May 2017	HR Manager and Heads of Schools	Done. Uptake RS appraisals CROS (2015=74%) CROS (2017=75%). Sector average is lower at just 62% for 2017. Rating of appraisals as 'useful' overall (2015=60% (2017=70%).

professional performance on a regular basis and in a transparent manner. It is important that RS have access to honest and transparent advice on their prospects for success in their preferred career.				
4.2 *Employers will wish to ensure that development activities open to RS 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 RS are not duly disadvantaged when moving from one employer to another.*	*No action required* Since 2013 UEA already maps all training provision for RS against the RS Development Framework. The PGR Office regularly reviews the composition of supervisory activities as specified in the UEA Research Degree Quality Enhancement Plan (part of QAA Quality Code Implementation). Opportunities exist for teaching delivery in some areas. All RS who teach are strongly encouraged to gain an accredited and transferable teaching qualification (Accreditation with HE Academy)**.** As part of the CSED training programme, courses are available to develop RS in their current and any future roles (e.g. Leadership and Management, Research governance and Ethics, Enterprise, and Impact). CCEN delivers workshops related to academic career development e.g. 'An Introduction to Research Fellowships', 'Getting that first lecturing post' and 'Moving on in your academic career'.	N/A	CCEN and CSED	N/A
4.3 *Employers will ensure that where RS are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.*	4.3.1 DTS and MAHEP to be advertised to RS at least three times per year.	July 2017	CSED	Done. Since 2016, DTS and MAHEP have been advertised at least three times per year. All RS who teach are strongly encouraged to gain an accredited and transferable teaching qualification (Accreditation with HE Academy). As part of the CSED programme, training courses are available to develop RS in their current and any future academic role (e.g. Developing Teaching Skills (DTS). Leadership and Management, Managing successful research awards,

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				Enterprise, and Impact). Opportunities may also exist for RS to be part of a PGR supervisory panel. CROS (2015) RS who have undertaken any form of teaching or lecturing courses over the past 12 months (31%). CROS (2017, 20%). 11% drop. However, as, for the first time, 13% of RS reported having undertaken training of more than 10 days in length. This may have been due to this particular cohort choosing to prioritise other types of training.
4.4 *Employers and RS can often benefit if RS have an input into policy and practice through appropriate representation at staff meetings and on organisation and management committees.*	4.4.1 PVC-RI emailed HoS to clarify RS representation on School –boards. RS actively sought by SDO-R/CCEN to participate in University –level RSWG. Aim to increase the proportion of 2017 CROS respondents agreeing they are treated fairly in comparison with other types of staff with regard to opportunities to 'participate in decision making processes'.	May 2017	SDO-R and CCEN	Done. Increase in proportion of 2017 CROS respondents agreeing they are treated fairly in comparison with other types of staff with regard to opportunities to 'participate in decision making processes' to 67% (CROS 2015 =56%, CROS 2013 =53%). This exceeds sector average of 58%.
4.5 *Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.*	4.5.1 UEA to monitor the uptake of mentoring schemes and feedback on their perceived usefulness.	July 2017	RSCs and Athena SWAN Committee	Done. UEA has monitored the uptake of mentoring schemes and feedback on their perceived usefulness. There has been a 12.3% increase in the percentage of CROS respondents indicating they have undertaken mentoring (CROS 2015=15%; CROS 2017=27.3%). There has been an increase from 35% to 42% of RS reporting that they 'Mentor and support' other RS.

D. RS' Responsibilities				
Principle 5. Individual RS share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.				
Clause	**Action**	**Deadline**	**Responsibility**	**Progress and Success Measure at August 2018**
5.1 *RS are employed to advance knowledge and should exercise and*	*No action needed* This is an underlying ethos of the University and	N/A	N/A	N/A

develop increased capacity for independent, honest and critical thought throughout their careers.	is reflected in the Code of Practice for the Employment and Career Management of RS and the University's Corporate Plan.			
5.2 *RS 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.*	5.2.1 To gather data from number of RS attending impact week.	Jan 2018	RIN	Done. Number of, and feedback from, RS attending Impact Week, January to 3rd February 2017: 257 attendances over 8 workshop events. Of these, 32 were RAs, 171 Academic and 54 Support Staff. All feedback was positive, with many describing the Impact Week as being 'excellent' and 'greatly appreciated with speakers that were 'sympathetic to the RS's point of view'. Presentations were 'clear and useful' 66%, 'I am likely to put what I've learned into practice' 75%.
5.3 *RS 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.*	5.3.1 To update good practice in research guidelines.	June 2018	PVC R&I and RIN	Done. Guidelines for good practice in research, research ethics and research governance are available on the RIN website. Training in Research Governance and Research Ethics is provided by the University's Research and Innovation Services, through the CSED programme.

Responsibility for good research conduct at UEA rests with the Research Executive, chaired by the Pro-VC Research & Innovation. All research proposals are reviewed at School level by the School's Ethics Committee. Decisions are then reviewed by the University's Research Ethics Committee. |
| 5.4 *RS 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.* | 5.4.1 Revised guidelines for appraisal of research staff to clarify that broader career and T&D considerations should be included as routine part of appraisal conversations. Aim to increase CROS respondents rating appraisal process as | May 2017 | CCEN and SDO-R | Done. CROS (2015=60%) (2017=70%). SMART objective ~70% reached. Sector average is lower at just 62% for 2017. Academic Role Profiles and Grade Criteria for the Promotion of RS make this clear. Comprehensive training provision for RS is mapped against the RS Development Framework. Appraisal conversations around career development and professional guidance from Careers Advisors also support this objective. |

	'useful' for 'leading to training or other CPD activities'.			
5.5 *RS 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 RS with the tools to manage their own careers. Research managers should encourage RS under their supervision to attend appropriate training and career development courses and events.*	5.5.1 Revised appraisal guidelines stipulate frequency of appraisals. School and central monitoring of appraisal uptake. Aim to increase percentage of CROS respondents reporting to have undertaken appraisal within last 12 monthsl to ~80%.	May 2017	HR Manager, CCEN & CSED	Improvements made. (CROS 2015) =74%, (CROS 2017) =75%. CROS (2017) reports 1% increase on past survey but slightly below ~80% target. UEA's 'Code of Practice for the Management of RS' encourages RS to be proactive in taking responsibility for planning and managing their own career and participating in developmental activities. UEA policy mandates that compilation/update of a Personal Development Plan (PDP) is part of the annual appraisal process. CSED provides information on training provision and promotes other internal and external development opportunities via the RSConnect website, the main CSED website, monthly e-bulletins and direct email contact with RS. RS can obtain a certificate recording the number of hours and nature of internally provided training completed. RS have access to a contact, support and information network 'ResNet, which encourages a proactive approach to career development.
5.6 *RS 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. RS 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.*	5.6.1 All CSED/CCEN training provision is mapped against the RDF to enable RS to record training needs / engagement. CCEN one to one guidance and workshops encourage RS to develop appropriate tools to record their CPD e.g. as part of CV. See also 5.4.1 re. appraisal conversations(above). Aim to increase proportion of CROS	May 2017	CCEN and SDO-R	Done. CROS respondents reporting that they have a clear career development plan and maintain a formal record of CPD was 61% for both (improvement on 54% and 57% respectively in 2015). 64% all RS respondents (CROS 2017) spent the recommended 2 or more days on CPD activity in the past 12 months. 44.3% participated in 5+ days CPD exceeding the sector average of 34%. Appraisal training for managers of RS specifically includes directions to ensure career development is included in appraisal conversation. RS are explicitly asked to be proactive and request an appraisal or additional career

respondents reporting that they have a clear career development plan and maintain a formal record of CPD.			development conversations if this is not automatically offered by their manager**.** RS are encouraged to be proactive, requesting an appraisal or additional career development conversations with their line-manager, or engaging with opportunities for mentoring. A Personal Development Plan (PDP) is included in part four of the annual appraisal form. The new CSED online appraisal training module is directed at appraisees as well as appraisers, in order to encourage appraisees to take responsibility for their own appraisal process. RS have access to a contact, support and information network 'ResNet, which encourages a proactive approach to career development.

E. Diversity and Equality

Principle 6. Diversity and Equality must be promoted in all aspects of the recruitment and career management of RS

Clause	Action	Deadline	Responsibility	Progress and Success Measure at August 2018
6.1 *The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.*	6.1.1 UEA to update and review the content of the E&D web-pages on an annual basis (or sooner if required in response to changes in national legislation).	May 2018 (annual review)	Head of E&D	Done. The latest full review was completed in May 2018. CROS (2015) findings indicated that 70% of RS felt that UEA treated them fairly in terms of their gender. The response rate for CROS (2017) was 71%. RS that stated that they agree that UEA is committed to Equality and Diversity, CROS (2015=91%) CROS (2017=92%). SMART objective met with 1% increase. Equal opportunity guidelines are embedded in all committees and University processes. UEA has developed Equal Opportunities and Diversity (E&D) webpages that provide a comprehensive resource for staff and students. E&D training is mandatory for all staff and combines online training with a range of additional courses, via the

				CSED Programme and on a bespoke basis. 91% UEA CROS 2015 respondents agreed that the University is committed to E&D (10% increase since 2013 survey). The Equality and Diversity webpages are treated as 'live' pages and are amended as required with a full review which takes Exit questionnaires issued for all research posts and logged, linked to E&D data and analysed.
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 RS. The Concordat encourages the recruitment and retention of RS from the widest pool of available talent, including those from diverse backgrounds.*	6.2.1 RS are embedded in all UEA policies including those related to E&D. UEA will use CROS data to monitor the perception by RS that staff are fairly treated at the institution regardless of personal characteristics.	May 2017	HR Manager	Done. % RS agreeing that staff are treated fairly in regard to Recruitment and Selection has decreased slightly (CROS 2015=81%, CROS 2017=79%), but this 2% drop was also reflected by the sector. HR provides support and guidance to all managers and has published clear guidelines on Recruitment & Selection including Equal Opportunities in employment.
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.*	6.3.1 To increase proportion of RS reporting that they feel fairly treated in terms of career progression and promotion to 80%.	May 2017	Head of E&D	Significant improvements made. (CROS 2013=64%, 2015=75%). CROS 2017=70%. However, the sector also saw a 4% drop from 73% in 2015 to 69% in 2017, for this criteria.
6.4 *Employers should ensure that the working conditions for RS provide the flexibility necessary for successful research performance in line with legal requirements. Employers should*	6.4.1 To review and update where appropriate policies pertaining to flexibly working and to promote these policies	May 2017	Head of E&D	Done. CROS (2017) results showed that 70% of respondents were satisfied with their work-life balance (2015=67%), which compares favourably against the sector which reported a 2% decrease to 68%.

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 RS to combine family and work, children and career.	via E&D related training. Aim to increase proportion of CROS respondents reporting that they are satisfied with their work-life balance (in alignment with previous levels at UEA and sector as a whole).			
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.	6.5.1 To ensure that RS line managers respond in accordance with the University's flexible working policy.	July 2017	Head of E&D	Done. HR Managers work closely with RS line managers to consider formal requests for flexible working; to ensure that responses accord with the University's commitment to flexibility wherever possible. Formal requests for flexible working are initially received in HR. HR liaises with the manager concerned and arranges a meeting to discuss with the manager and staff member. Wherever possible, flexibility is promoted and supported. Typically, requests for flexible working are agreed informally within the School by the manager without the need for a formal request to be made. This forms part of Athena SWAN Action Plan which is reviewed at each ASCSG meeting. A flexible working policy has been implemented and promoted by the University **here**
6.6 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	6.6.1 To ensure UEA guidelines regarding Maternity leave entitlements have been reviewed and updated in 2017.	July 2017	HR Manager	Done. UEA guidelines regarding Maternity leave entitlements have been reviewed and updated in 2017. Section 15 contains updated information for RS on Research Council maternity, adoptive, maternity support (paternity) and parental leave policy can be found here.

and adoptive leave as well as maternity leave	6.6.2 To ensure updates on the latest funding rules from Research Council grant funding opportunities are regularly disseminated.			Done. The UEA is aware of Research Council grant funding opportunities for grant funding on a full economic basis, and uses them when applicable. Updates on the latest funding rules from Research Council grant funding opportunities are published weekly on the RIN webpages and further disseminated via 'Writing grant application' workshops.
6.7 Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is representative will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	6.7.1 HR to published updated guidelines on Recruitment & Selection including Equal Opportunities.	May 2017	HR Manager	Done. HR provides support and guidance to all managers and has published clear guidelines on Recruitment & Selection including Equal Opportunities in **here** As part of the University's Athena SWAN Bronze award action plan we review whether our recruitment and selection policies are generating a balanced representation of all groups at all career levels**.**
6.8 Account should also be taken of the personal circumstances of groups of RS. Examples would include RS who have responsibility for young children or adult dependants, RS for whom English is not a first language, older or younger RS, or RS with disabilities and long-term health issues. Employers and funders should change policies or	6.8.1 CSED to review RS training programme to ensure individual personal circumstances are accommodate as far as possible.	Sept 2017	CSED and SDO-R	Done. CSED reviewed their offering of a range of courses to raise awareness of the spectrum of differences in personal circumstances. All training courses are designed and developed to take into consideration the personal circumstances of individuals who attend.

practices that directly or indirectly disadvantage such groups.				Staff whose first language is not English are able to access English language training through INTO UEA. Specific information for international RS new to the University is available on the RSConnect website.
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.*	6.9.1 To publish a transparent 'Dignity at Work' policy.	Oct 2017	HR Manager	Done. A transparent 'Dignity at Work' policy has been published in October 2017. There are clear 'Guidelines for dealing with Harassment' on the HR web pages. here The University offers a Harassment Adviser Network, providing advice for UEA staff who may be experiencing harassment or bullying, or who have been accused of it here All staff have access to a confidential counselling service **here**
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.*	6.10.1 The University to ensure that all Faculties are fully engaged with the Athena SWAN process.	June 2016	Head of E&D	Done. The University is a member of the Athena SWAN charter at Bronze Award level. All Faculties are fully engaged with the Athena Swan process and we are currently applying for Silver status in a number of Schools.

F. Implementation and Review				
Principle 7. The Sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK				
Clause	**Action**	**Deadline**	**Responsibility**	**Progress and Success Measure at August 2018**
7.1 *The implementation of the Concordat's principles will lead to a greater integration of RS 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.*	7.1.1 To review the implementation of the Concordat's principles to ensure a greater integration of RS into the University's development structures.	May 2018	PVC R&I	Done. Since May 2018, following a review by the PVC R&I, the RSAN has now been replaced by the annual RS Summit; together with the RS Blackboard discussion portal for RS. Feedback gathered from both activities will be analysed and sent to the PVC R&I in addition to biennial CROS and PIRLS findings, and feedback from Athena SWAN focus groups / surveys led by the Athena

				SWAN Central Strategic Group. The PVC R&I meets with central service stakeholders (HR, E&D, CSED, CCEN) 3 times p.a. to review progress and action points are reported to Research Executive.
7.2 The signatories agree: *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 RS and employers (both outside and within the HE sector).*	This clause falls outside the University's responsibilities.	N/A	N/A	N/A

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.	7.3.1 The University to monitor the external requirements of external stakeholders.	June 2018	RIN liaising with PVC R&I	Done. The University continues to monitor the changing requirements of external stakeholders e.g. Research Councils to ensure that we are aware of the requirements of their implementation plans. Members of RIN act as points of contact with all key funders and keep abreast of any changes. Senior academics are on Boards or hold other positions of authority with major funders. RIN routinely engages with professional bodies, conferences, trade press etc. to maintain an up-to-date picture and to keep the PVC R&I informed of any developments.
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.	7.4.1 The University to promote best practice throughout implementation and review process.	June 2018	SDO-R	Done. UEA engages with other Higher Education Institutions to share good practice and to promote the principles of the Concordat, e.g. by attending Vitae events, the most recent being the East of England Member Vitae event on May 29 2018 that was attended by the SDO-R.
7.5 Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their RS. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.	7.5.1 HR and the Head of E&D to monitor E&D indicators for RS.	June 2018	Head of E&D (via Athena SWAN Action Plan)	Done. HR and the Equality and Diversity Manager monitor equality and diversity indicators for RS using data such as the HESA return and the Athena SWAN award action plan. Additional information is collected from analysis of the CROS surveys and RSC annual reports are used both by the HR Manager and Head of E&D.

*NB: *Some of these 'future plans' are activities that are not measurable, where this is the case, an asterisk will be placed by its identifier.*

Key to Acronyms

ARM =   Admissions, Recruitment & Marketing

ASCSG=   Athena SWAN Central Strategic Group

CCEN=   Careers Service

CSED=   Centre for Staff & Educational Development

DOS=   Dean of Students (now replaced by Student Support Services)

E&D=   Equality and Diversity

ET=   Executive Team

HR=   Human Resources

PI=   Principal Investigator (on a research project/grant)

RIN=   Research & Innovation Services

RSAN=   RS Advisory Network

RSC=   RS Co-ordinator

RSWG=   RS Working Group

PVC R&I=   Pro Vice Chancellor Research & Innovation

SDO-R=   Staff Development Officer-Research