

Gap Analysis and Action Plan
to support the implementation of The Concordat to Support the Career Development of Researchers
University of Warwick October 2012

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					
	<i>Concordat Clause</i>	<i>In place</i>	<i>Still to do / more development</i>	<i>Lead(s)</i>	<i>Timescale</i>
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution	University Strategy - Research & Scholarship - to make the University an undisputed leader in Research & Scholarship (University Strategy website) http://www2.warwick.ac.uk/insite/strategy/research_and_scholarship/. Clearly defined University Recruitment Policy	Regular review of Research Strategy to maintain relevance and appropriateness. To continue to embed quality expectations with existing staff through objective setting including annual review and throughout the recruitment process.	PVCs for Research to review Strategy. HR to lead on Recruitment Policy.	Ongoing
1.2	Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified 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.	University role profiles have well-defined role requirements for Research Staff. There are job descriptions and person specifications for each role. The University Recruitment and Selection Policy is committed to ensuring that professional and effective recruitment and selection takes place which both meets legislative requirements and reflects our commitment to equality and diversity: (University Recruitment website) http://www2.warwick.ac.uk/services/humanresources/introduction Two e-learning modules are available, one on Recruitment and Selection and one on Diversity in the Workplace. (University Equality & Diversity Training website) http://www2.warwick.ac.uk/services/equalops/training/	Review completion data on the Recruitment and Selection module and continue to promote to recruiters.	Monitored by LDC / HR	Completion rates reviewed annually
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	Fixed Term Contracts Guidelines are already in place and clearly understood: (University Human Resources Fixed Term Contracts Website) http://www2.warwick.ac.uk/services/humanresources/newpolicies/ftcs In addition the University has comprehensive Redeployment Guidelines (University Human Resources Redeployment Website) http://www2.warwick.ac.uk/services/humanresources/newpolicies/redeployment		HR	

1.4	To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.	The University has clear guidance on recruitment which follows these principles: (University Human Resources Recruitment & Selection Website) http://www2.warwick.ac.uk/services/humanresources/introduction/ All roles are advertised with a job description and person specification detailing essential and desirable criteria and candidates are matched against the criteria. Recruitment panels reflect diversity, where possible, to promote the University's ethos of an inclusive working environment for all. The Request to Appoint form contains details of the panel so it is possible to review the panel composition. Two e-learning modules are available, one on Recruitment and Selection and one on Diversity in the Workplace which must be completed by all staff involved in recruitment and selection exercises: (University Equality & Diversity Training website) http://www2.warwick.ac.uk/services/equalops/training/ The Academic Promotions Committee has received training on equality and diversity and all promotion applicants are provided with feedback.	Completion rates of recruitment training to be monitored and the module to be further promoted to recruiters. Spot checks on the panel information detailed in the Request to Appoint form to ensure panel diversity.	HR / LDC	Completion data reviewed annually. Bi-annual spot check of panel information.
1.5	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.	The University has a harmonised grading structure and terms & conditions which are transparent for all staff: (University Payroll Current Salary Scales Website) http://www2.warwick.ac.uk/services/humanresources/payroll/scalescurrent/	Review of grading structure to ensure the requirements of the research post are consistent with the wider pay and grading structure	Reward Manager	Annually

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.

	<i>Concordat Clause</i>	<i>In place</i>	<i>Still to do / more development</i>	<i>Lead(s)</i>	<i>Timescale</i>
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.	Fixed Term Contracts Guidelines: (University Human Resources Fixed Term Contracts Website) http://www2.warwick.ac.uk/services/humanresources/newpolicies/ftcs In order to ensure that researchers on fixed term contracts engage meaningfully with the University, LDC offers a webpage "portal" to a range of internal and external information sources of value to researchers. http://www2.warwick.ac.uk/services/ldc/researchers/	To consider whether it is feasible to give defined CPD time for researchers. Feedback to be gathered from Research Staff via Research Staff Forum and the Research Committee on the option and feasibility. Pilot project currently being jointly developed in Warwick Medical School with RSS and LDC to ensure people development is resourced and that staff have a clear statement of what they can expect in terms of development.	HR/RSS/Academic Stake holders WMS/LDC	by December 2012 End of academic year 2012/13
2.2	Commitment by everyone involved to improving the stability of employment conditions of 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.	Fixed Term Contracts Guidelines were developed to reflect legislation and best practice: (University Human Resources Fixed Term Contracts Website) http://www2.warwick.ac.uk/services/humanresources/newpolicies/ftcs The Guidelines were developed following a review of the JNCHES guidance.	HR to provide reports to Research Committee annually on the numbers of fixed term contracts to enable review in respect of the Fixed Term Contract Guidelines.	HR	Annual

2.3	<p>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, include</p>	<p>The University provides a Research Team Leaders Programme to equip Research Team Leaders with the key skills in leading and managing their teams: (University Research Team Leaders Programme Website)</p> <p>http://www2.warwick.ac.uk/services/ldc/development/rtlp/</p> <p>In addition Research Team Leaders can attend the Warwickshire Administrative Management Programme (WAMP) and the Warwick Leaders Programme (WLP) (University LDC Website)</p> <p>http://www2.warwick.ac.uk/services/ldc/development/wamp</p> <p>http://www2.warwick.ac.uk/services/ldc/development/wlp</p> <p>Annual Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Annual Review Website)</p> <p>http://www2.warwick.ac.uk/services/ldc/annualreview/</p> <p>Six month career development meetings with line managers are being actively encouraged within departments.</p>	<p>Research Team Leaders' Programme will continue to be open to research managers. Review feedback following each programme.</p> <p>LDC is currently developing a leadership programme for mid/senior career researchers and academics.</p>	<p>LDC</p> <p>LDC</p>	<p>Review following each programme</p> <p>Oct 2013</p>
2.4	<p>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.</p>	<p>The Research Councils' Follow-on Fund provides small grants to help researchers to bridge the funding gap:</p> <p>http://www.bbsrc.ac.uk/business/commercialisation/follow-on.aspx</p> <p>www.epsrc.ac.uk/ResearchFunding/Opportunities/KT/FollowOnFund.htm</p> <p>Warwick Ventures Ltd also provide information on available funding sources, offering particular support to entrepreneurs. (University Warwick Ventures Funding Sources Website)</p> <p>http://www2.warwick.ac.uk/services/ventures/academicscontact/funding_sources</p>	<p>Endeavour to promote and implement in respect of Fixed Term Contracts within individual departments. Include a link to the RSS and Warwick Ventures funding information on the Fixed Term Contract web pages</p> <p>RSS to continue to work with academic departments to inform research staff of fellowships and funding opportunities.</p>	<p>HR</p> <p>RSS</p>	<p>Dec 2012</p> <p>On-going</p>

2.5	<p>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.</p>	<p>The University has a harmonised single pay spine which includes Research Staff. Standardised grading and increments structure and terms and conditions are clearly understood and available. Comprehensive Guidelines for Academic Promotions are published on the Human Resources Website. (University Human Resources Academic Promotions Website) http://www2.warwick.ac.uk/services/humanresources/newpolicies/academic_promotions</p> <p>Equal Pay Review carried out in 2011 and the results reviewed through the Joint Consultative Committee, the Steering Committee, the Equality & Diversity Committee and the Senate. No significant disparity exist in framework grades. Results are published on the University Webpage.</p>	<p>Information on Promotions will be reviewed to ensure continued inclusivity of both part and full time staff. Promotion data is reported annually to the University's Equality and Diversity Committee.</p> <p>Review how annual promotion material is disseminated to staff to ensure all eligible staff are included regardless of their status.</p>	<p>HR/EDC</p> <p>HR</p>	<p>Yearly</p> <p>March 2013</p>
2.6	<p>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.</p>	<p>Comprehensive Guidelines for Academic Promotions are published on the Human Resources Website. As well as the website this is communicated to departments via email annually. (University Human Resources Academic Promotions Website) http://www2.warwick.ac.uk/services/humanresources/newpolicies/academic_promotions</p> <p>There is a clear process which identifies criteria to progress to Senior Research Fellow and Principal Research Fellow and Professorial Research Fellow.</p> <p>Self help materials on Career Progression for all staff including Research Staff are published on the LDC website (University LDC Career Progression Website) http://www2.warwick.ac.uk/services/ldc/researchers/careers/</p> <p>Annual Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Annual Review Website) http://www2.warwick.ac.uk/services/ldc/annualreview/</p> <p>Six month career development meetings with line managers are being actively encouraged within departments.</p>	<p>Enhance annual review process and training to include more specific prompts on the potential content of a constructive career development conversation that encourages reviewees to think holistically about career options and achieving progress.</p> <p>Enhance existing career progression information for early career researchers by improving signposting on the University Intranet on existing career development opportunities for early career researchers</p>	<p>LDC</p> <p>LDC/HR</p>	<p>2013 Annual Review Cycle</p> <p>End of Academic Year 2012/13</p>

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.

	Concordat Clause	In place	Still to do / more development	Lead(s)	Timescale
3.1	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.	<p>Role profiles clearly indicate that research staff should identify themselves as part of the academic community at the University.</p> <p>Annual Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Annual Review Website) http://www2.warwick.ac.uk/services/ldc/annualreview/</p> <p>Research staff have access to comprehensive training in transferable skills. (University LDC Training Programme Website) http://www2.warwick.ac.uk/services/ldc/development</p> <p>MOAC delivers a postgraduate certificate in transferable skills for Post-Docs in Science which enables Post-Docs to evidence their learning in core transferable skills. (University MOAC Website) http://www2.warwick.ac.uk/fac/sci/moac/degrees/</p>	Monitor Research Staff engagement with staff development and transferable skills training in order to inform future LDC priorities to support career progression for research staff.	LDC	Annually
3.2	A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.	<p>Career coaching via Careers Service available for all Research Staff (University LDC Careers Website) http://www2.warwick.ac.uk/services/ldc/researchers/careers/. Self help career development materials are offered (University LDC Career Progression Website) http://www2.warwick.ac.uk/services/ldc/researchers/careers/</p> <p>Information is provided on successful transition to non-academic careers (University Careers & Skills Website) http://www2.warwick.ac.uk/services/scs</p> <p>The Warwick Coaching and Mentoring Scheme is available for all Research Staff: (University LDC Coaching & Mentoring Webpage) http://www2.warwick.ac.uk/services/ldc/coachmentor/wcm</p> <p>Networking with other Research Staff is available through the Research Staff Forum; Research Staff Networks and Research Staff profiles (University LDC Research Staff Webpage) http://www2.warwick.ac.uk/services/ldc/researchers/networking/</p>	<p>Monitor the participation rates of researchers in the Coaching and mentoring programme and seek feedback from participants to identify whether it has aided the researcher in identifying and progressing their career path.</p> <p>Evaluation of role of PG certificate in Transferable Skills as a guided mentoring programme</p> <p>Postdoc newcomers to be invited to Research Staff Forum lunches so they can meet their representatives and other key people (ie. LDC & Library contacts) and find out what RSF does for researchers.</p>	LDC MOAC RSF	June 2013 On-going Annually

3.3	<p>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.</p>	<p>Mentoring open to all research staff to assist in their training and career development. (University RSS Mentoring Website) http://www2.warwick.ac.uk/services/rss/researchgovernance_et_hics/research_code_of_practice/trainingandmentoring/mentoring/</p> <p>Support is offered to research staff in skills such as writing grant proposals; CVs; giving presentations. (University Transferable Skills Training webpage) http://www2.warwick.ac.uk/services/ldc/researchers/eande</p> <p>MOAC delivers a postgraduate certificate in transferable skills for Post-Docs in Science which enables Post-Docs to evidence their learning in core transferable skills. (University MOAC Website) http://www2.warwick.ac.uk/fac/sci/moac/degrees/</p> <p>The Library's Special Interest Groups (SIGs) seek to encourage researchers at all levels to engage with researchers working on Global Research Priorities and are open to early career researchers. (University Library Research Exchange webpage) http://www2.warwick.ac.uk/services/library/researchexchange/research_networks/sigs/</p>	<p>Range of provision and take up to be monitored by Research Committee</p> <p>Evaluation of whether it would be appropriate to instigate a similar postgraduate certificate for researchers in the other academic faculties.</p>	<p>LDC</p> <p>MOAC reporting to Research Committee</p>	<p>Annually</p> <p>Dec 2013</p>
3.4	<p>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.</p>	<p>See 3.2 and 3.3</p> <p>Postgraduate Researcher Enterprise Programme are a series of events run by the academic faculties to provides all postgraduate researchers with the knowledge and skills to help them create an impact, whatever their chosen career path. http://www2.warwick.ac.uk/services/scs/pgr/enterprise</p> <p>Information disseminated on what Warwick postgraduates do after finishing their degree. http://www2.warwick.ac.uk/services/scs/started/gradstats/postgraduate/</p> <p>LDC offer career development opportunities to researchers (University LDC webpage) http://www2.warwick.ac.uk/services/ldc/researchers/careers/</p>	<p>Review participation rates and impact of PREP and prepare a summary report to Research Committee for consideration as to whether to refocus or expand the provision.</p>	<p>Student Careers and Skills</p>	<p>Jan-13</p>

3.5	<p>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.</p>	<p>The University has clear reward mechanisms that are clearly communicated and understood. As part of this the University has a clear Promotions process which clearly details the criteria for progressing between levels and provides guidance of writing a CV for promotion purposes.</p> <p>Annual Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Annual Review Website) http://www2.warwick.ac.uk/services/ldc/annualreview/</p> <p>Career information communicated to all Research Staff on Website (University LDC Careers Website) http://www2.warwick.ac.uk/services/ldc/researchers/careers/</p> <p>LDC produce a monthly newsletter for all research staff on development and funding opportunities as well as on national issues relating to researchers. There is also national information on the website. http://www2.warwick.ac.uk/services/ldc/researchers/policy/</p>	<p>Review promotion statistics to identify rates of researcher promotion and qualitative evidence as to why researchers are unsuccessful for promotion.</p>	HR	Oct-14
3.6	<p>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.</p>	<p>University wide new staff Induction (University HR Induction Website) http://www2.warwick.ac.uk/services/humanresources/induction/whenstart/hrind. There is also a separate section of the induction website specifically for research active staff which highlights key aspects that are important to researchers including funding information and policies. http://www2.warwick.ac.uk/services/ldc/researchers/</p> <p>The University provides a Research Team Leaders Programme to equip Research Team Leaders with the key skills in leading and managing their teams to meet departmental and project requirements: (University Research Team Leaders Programme Website) http://www2.warwick.ac.uk/services/ldc/development/rttp/</p>	<p>Pilot to offer local induction for groups of Early Career Researchers in Science Faculty to be launched in 2012, with a focus on women but open to all.</p> <p>As identified by STEM departments during their Athena SWAN work, implement induction programmes and documents within departments specifically aimed at different categories of staff including academic and research.</p>	<p>Research Staff Forum</p> <p>Athena SWAN Network Group</p>	<p>End of Academic Year 2012/13</p> <p>April 2013</p>
3.7	<p>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.</p>	<p>Role Profiles identify skills and responsibilities. All staff development provision is mapped to the Researcher Development Framework. In addition there are clear promotion criteria noted.</p> <p>The University's annual review process encourages supervisors and reviewees to select personal or professional development solutions from a wide range of formal and informal options including work shadowing, project roles and mentoring. (University LDC Annual Review Website) http://www2.warwick.ac.uk/services/ldc/annualreview/</p> <p>LDC manages its provision for researchers against the Researcher Development Framework. (University LDC Researcher Development Framework page) http://www2.warwick.ac.uk/services/ldc/researchers/rdf</p>	<p>Continue to plan staff development provision based on feedback from stakeholders and Research Staff Forum through Research Committee</p>	LDC	Report Annually to Research Committee

3.8	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.	<p>Career Development available to all Research Staff (University LDC Career Progression Website) http://www2.warwick.ac.uk/services/ldc/researchers/careers/</p> <p>Mentoring Scheme open to all Research Staff (University RSS Mentoring Website) http://www2.warwick.ac.uk/services/rss/researchgovernance_et_hics/research_code_of_practice/trainingandmentoring/mentorin_g/</p> <p>The Warwick Coaching and Mentoring Scheme is open to all research staff including researchers: (University LDC Coaching & Mentoring Webpage) http://www2.warwick.ac.uk/services/ldc/coachmentor/wcm</p> <p>All research staff receive the Researchers newsletter once a month which highlights key information on personal and career development opportunities.</p>	<p>Continue to update Research Staff Forum to ensure new members are aware of support and development opportunities available.</p> <p style="text-align: right;">Advise</p> <p>Research Staff Forum of new PDRA's to enable the Forum to contact staff and invite them to the forum.</p>	LDC/RSF HR	Annually Oct 2012
3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual 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.	<p>LDC offers academic writing retreats to researchers (University LDC web resources) http://www2.warwick.ac.uk/services/ldc/development/awpbootcamp</p> <p>Research Support Services provide guidance for researchers in making funding applications, managing a project, managing finances, evaluation and communication of project output.</p> <p>Warwick hosted the Advanced Summer School in Solar Physics, a series of lectures in all areas of Solar and Heliospheric Physics, for PhD students and early career postdocs from the UK and abroad.</p>	<p>Review pilot project in Warwick Medical School to encourage all staff to take responsibility for their personal and professional development and to have access to time to do so.</p> <p>Evaluate existing CPD provision and add relevant material to LDC webpages for research active staff</p>	WMS/LDC LDC	End of Academic Year 2012/13

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

4.1	<p>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.</p>	<p>Annual Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Annual Review Website) http://www2.warwick.ac.uk/services/ldc/annualreview/.</p> <p>Career Development self help material is available to all Research Staff (University LDC Career Progression Website) http://www2.warwick.ac.uk/services/ldc/researchers/careers/</p> <p>Six month career development meetings with line managers are being actively encouraged within departments.</p>			
4.2	<p>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.</p>	<p>Research Staff have access to training which is relevant to their academic work including (University LDC Research webpage) http://www2.warwick.ac.uk/services/ldc/researchers/</p> <ul style="list-style-type: none"> • Research • Teaching • Leading and Managing People • Professional Development (eg. Communicating, time management, managing working relationships) • The Academic Writing Programme <p>The University recognises the difficulty of attending conferences for parents and has therefore established a small fund to assist with payments of extra childcare arrangements for individuals attending conferences/ workshops etc. The University nursery also considers taking a child on a one-off basis if a parent needs cover to attend a conference and their child does not usually use the facilities.</p> <p>(University LDC Training, Professional and Personal Development Website) http://www2.warwick.ac.uk/services/ldc/researchers/traindev/</p> <p>Annual Review process and training for all reviewers and reviewees, face to face and online.</p> <p>All provision mapped to the nationally recognised (Vitae) Research Development Framework.</p>	<p>LDC to identify possible approaches to introducing a single e-portfolio across the University for Early Career Researchers.</p> <p>Research Committee to review data on research staff attrition rates and destinations where data is available.</p>	<p>LDC /Research Support Services / Library</p> <p>HR</p>	<p>End of Academic Year 2012/13</p>

4.3	Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.	LDC offers introductory seminars on teaching for researchers	MOAC have run two very successful science communication courses to post docs - approximately 25 PDRAs attended each course. The challenge remains as to how to encourage more PDRAs to attend the course. Feedback from attendees is good. Involve the Communications Office in next iterations.	LDC	December 2013
4.4	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.	<p>Research Staff Forum and Research Committee feeds into University Policy and best practice. The Research Staff Forum has a representative on the Research Funding Councils.</p> <p>Each department is encouraged to send a representative to the Research Staff Forum.</p>	<p>Representatives to be encouraged to attend relevant departmental meetings, Athena Network Group and Juno (Physics)</p> <p>Monitor engagement and report to Research Committee</p>	RSF / RC	Annually
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	<p>Mentoring Scheme available to all Research Staff (University RSS Mentoring Website)</p> <p>http://www2.warwick.ac.uk/services/rss/researchgovernance_et_hics/research_code_of_practice/trainingandmentoring/mentoring/</p> <p>The Warwick Coaching and Mentoring Scheme open to all staff including researchers: (University LDC Coaching & Mentoring Webpage)</p> <p>http://www2.warwick.ac.uk/services/lcd/coachmentor/wcm</p> <p>Mentors are available for Returning Parents</p>	Monitor use of existing central mentoring schemes by researchers to consider whether additional mentors need to be trained.	LDC	Annually

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.

	Concordat Clause	In place	Still to do / more development	Lead(s)	Timescale
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	<p>University Governance and Guidelines on expectations of Research Staff. (University RSS Governance & Ethics Website) details the expectations of Warwick researchers whilst referencing the RCUL and UK Research Integrity Office. http://www2.warwick.ac.uk/services/rss/researchgovernance_et_hics/</p> <p>There is encouragement within departments for research staff to join professional networks, attend conferences and workshops and present their work.</p> <p>LDC encourages researchers to share good practice through dissertation events and case studies.</p> <p>The University operates a Study Leave scheme which provides researchers with dedicated research time in order to increase their opportunity for output.</p>			
5.2	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.	<p>Warwick Ventures offers advice and services to the University's innovators, offering support throughout the process of generating impact and a commercial return from their research, whilst maintaining their academic focus. (University Warwick Ventures Webpage) http://www2.warwick.ac.uk/services/ventures/academicscontact/</p>	Publicise Warwick Ventures work through web pages for researchers including RSS, HR and LDC.	Warwick Ventures, RSS, HR and LDC	Mar-13
5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.	<p>University Governance and Guidelines on its expectation of Research Staff. (University RSS Governance & Ethics Website) http://www2.warwick.ac.uk/services/rss/researchgovernance_et_hics/</p>	RSS to introduce revised training in research governance for all researchers	RSS	End of Academic Year 2012/13
5.4	Researchers should also be aware that the skills and achievements required to move on from a research position may be the same as the skills and achievements which they displayed to reach that position.	Role profiles clearly identify those skills and achievements required of research staff .	Review and seek to develop career development resources for researchers as appropriate.	LDC / Careers	On-going
5.5	Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to 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.	<p>Careers guidance to Researchers is based upon the premise that all staff, including Researchers, take responsibility for their own career decisions and progression.</p> <p>The Library's Research Match initiative offers researchers the opportunity to network and collaborate in order to develop their research profile. http://www2.warwick.ac.uk/services/library/researchmatch</p>	Review the outcome of a pilot in Warwick Medical School to encourage all staff to take responsibility for their personal and professional development and to ensure this is resourced.	LDC / WMS	01/12/2012

5.6	<p>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.</p>	<p>Annual Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Annual Review Website) http://www2.warwick.ac.uk/services/ldc/annualreview/</p> <p>Mentoring Scheme available to all Research Staff (University RSS Mentoring Website) http://www2.warwick.ac.uk/services/rss/researchgovernance_et_hics/research_code_of_practice/trainingandmentoring/mentoring/</p>	<p>Review mentoring at various levels within departments by: Investigating the effectiveness of existing mentoring arrangements for staff on probation through local departmental probation committees. Reviewing the opportunity of supporting mid career staff with a professorial mentor of their choice. Encouraging Professorial staff to have a co-mentoring relationship.</p>	RSS/LDC/HR	May 2014
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E. Diversity and Equality

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

	<i>Concordat Clause</i>	<i>In place</i>	<i>Still to do / more development</i>	<i>Lead(s)</i>	<i>Timescale</i>
6.1	<p>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 under-representation or lack of progression.</p>	<p>The University is proud of its diverse community of staff, students and visitors, and is committed to maintaining its excellent record in teaching and research by ensuring there is equality of opportunity for all, fostered in an environment of mutual respect and dignity. (University HR Equality & Diversity Website) http://www2.warwick.ac.uk/services/equalops</p> <p>The University has a Single Equality Scheme and Single Equality Action Plan which covers all the protected characteristics and also incorporates the University's Athena SWAN objectives. In addition there is an Equality and Diversity on-line training modules available to all staff..</p> <p>The University has developed a Code of Practice for the selection of staff for the Research Excellence Framework which highlights the need to consider the protected characteristics and their potential impact on researchers.</p>	<p>Implement the REF code of Practice ensuring that all individuals making decisions relating to REF are trained in the code of practice and equality and diversity. Reference to the Concordat principles will be integrated into this training</p>	HR/Management Information and Planning	Apr-13
6.2	<p>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.</p>	<p>The University is proud of its diverse community of staff, students and visitors, and is committed to maintaining its excellent record in teaching and research by ensuring there is equality of opportunity for all, fostered in an environment of mutual respect and dignity. (University HR Equality & Diversity Website) http://www2.warwick.ac.uk/services/equalops</p>	<p>Monitor the diversity of the research workforce as part of the wider Workforce Profile Report and report to Research Committee.</p>	HR	Annually

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.	<p>An annual workforce profile report examines the profile of researchers in relation to gender, disability and race. This is presented for consideration by the Equality and Diversity Committee http://www2.warwick.ac.uk/services/equalops/eo_data/ Participation in the Athena SWAN Charter (University HR Athena SWANN Website) http://www2.warwick.ac.uk/services/equalops/athena/</p> <p>The University runs a number of Staff/Student Network Groups including the Equality and Diversity Network that is open to all staff to come along and raise relevant equality issues or concerns. A report from the EDN is a standing agenda item on the EDC. http://www2.warwick.ac.uk/services/equalops/news/ The University has recently initiated the Returning Parents Network Group. http://www2.warwick.ac.uk/services/equalops/news/parents/</p>	<p>Work to continue with Returning Parents Network Group to seek feedback from returning parents. A parental returners checklist to be developed that can be distributed to departments to improve the back to work experience for staff returning from maternity/adoption/paternity leave.</p> <p>Continue the introduction of welfare and communication groups in departments. These were originally established for some STEM departments in line with their Athena SWAN objectives but through the dissemination of best practice to other STEM departments and other faculties it is anticipated that they will provide a valuable feedback mechanism on policy and practice.</p> <p>Work with STEM departments on Athena Equality Objective – to disseminate best practice identified to other non-STEM departments through the University's Window on Warwick sessions.</p>	HR Athena SWAN Project Officer	
6.4	Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the "early career" period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.	<p>Participation in the Athena SWAN Charter considers the potential impact on women in STEM departments (University HR Athena SWAN Website) http://www2.warwick.ac.uk/services/equalops/athena/</p> <p>Child Care Provision available for all staff at the University nursery and summer activities are operated on campus including sports activities and Mad Science week The University has a conference care fund available to support individuals with caring responsibilities fund cover whilst they attend conferences.</p>	<p>Continue work on Athena to identify initiatives to help researchers back into the workplace</p> <p>Ensure that staff are made aware of the University's policy for Extended Paternity Leave by highlighting the change on the HR website and in HR updates.</p>	HR/STEM Departments HR	Ongoing Dec 2012
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.	<p>The University promotes Flexible Working Guidelines which enables all staff the opportunity to request flexible working. Following a request managers give detailed consideration regarding the options prior to deciding on the outcome of the request (University HR Flexible Working Guidelines)</p>	<p>Promote the Flexible Working Guidelines via the Returning Parents Network.</p>	HR	Mar-13
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 and adoptive leave as well as maternity leave.	<p>The University will continue to work with funders to ensure that funding mechanisms support good equality and diversity practice.</p>			

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.	Recruitment and selection training and policy emphasises the need for diversity on selection panels. (University HR Recruitment & Selection Website) http://www2.warwick.ac.uk/services/humanresources/introduction A Workforce Profile Equality Monitoring Report is prepared and is used to compare the University's statistics against national statistics. This report is submitted to the EDC annually.	LDC ran two focus groups in 2011 on the key issues facing women moving into leadership roles. There was no clear consensus on the value of a women only leadership programme and therefore no action is currently contemplated. LDC will continue to monitor this aspect and report to Research Committee	LDC	Annually
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for who 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.	Flexible working is available for Research Staff and there is a conference fund to assist with caring costs whilst attending conferences and meetings. The University has excellent IT facilities which allows for remote access to emails and files.	The University will continue to implement Equality Analysis via newly purchased software. This encompasses a systematic review of the University's policies in relation to gender, disability, race and age to ensure that no group is disadvantaged.	HR	Implemented Dec 2012 and reviewed 3 yearly or as new policies are implemented.
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.	The University has a Dignity at Work and Study Policy for staff and students which is clearly communicated (University HR Dignity at Work & Study Website) http://www2.warwick.ac.uk/services/humanresources/newpolicies/dignity/ Cases of Bullying and Harassment are recorded and numbers are reported in the Workforce Profile document. This is accessible on the Equality and Diversity Webpage.	Effectiveness of Policy is regularly reviewed/updated.	HR	Annually

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.	<p>An active member of the Athena SWAN Charter (University HR Athena Swan Website) http://www2.warwick.ac.uk/services/equalops/athena/</p> <p>The University has been awarded the following Athena Awards to date:</p> <p>University Bronze Institutional Award; Athena Bronze Departmental Award: Warwick Medical School were the first UK Medical School to get the Athena Bronze Award. Psychology Athena Silver Departmental Award: Department of Chemistry, Department of Physics</p> <p>The Department of Physics was the first Department (with Imperial College London) to be awarded the Institute of Physics JUNO Champion Award.</p>	Continue support for individual departments in their applications for the awards. Warwick Medical School are hosting an event for other medical schools to share best practice. Appointment of a dedicated Athena SWAN Project Officer to progress University and departmental submissions.	Athena SWAN Project Officer, HR, WMS	Oct-12
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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

	<i>Concordat Clause</i>	<i>In place</i>	<i>Still to do / more development</i>	<i>Lead(s)</i>	<i>Timescale</i>
7.1	The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.	Research Staff are represented on various University Committees including the Research Committee, the Equality & Diversity Committee and the Athena SWAN Network Group. These groups then report into the key decision making committees of the University.	Research Staff Forum to continue to act as a consultation forum in respect of the implementation of the Concordat	LDC/RSF	Annually

7.2	<p>2. The signatories are:</p> <p>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.</p> <p>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</p> <p>c. to contribute an appropriate share of the cost of supporting implementation and review, including the benchmarking report.</p> <p>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).</p> <p>e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector)</p>	<p>Research Staff will continue to be consulted via:</p> <ul style="list-style-type: none"> • Research Committee • Research Staff Forum • Pulse Survey • Annual Reviews 	<p>The Research Committee to receive and consider bi-annual updates of the implementation of the concordat. To publish the Concordat Action plan and updates.</p>	Bi-annual	
7.3	<p>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.</p>		No Actions Required		
7.4	<p>The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.</p>	<p>The University shares best practice and policy in this area with other Universities including through attendance and involvement in Vitae events.</p> <p>Staff working on the Athena SWAN Project attended a Regional Network Meeting at Nottingham on 16th May 2012</p>	Continued collaboration with other Universities participating in the Athena Swan Charter	HR	Ongoing
7.5	<p>Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.</p>	<p>As stated previously a Workforce profile report is presented annually to the EDC. In addition to the wider workforce profile specific analysis of academic promotions and probations are also reported annually.</p>	The University to integrate the Concordat principles and actions within the Single Equality Action Plan where appropriate.	HR/EDC	Oct-14