University of Warwick – HR Excellence in Research & HR Excellence Action Plan
4 Year Review Action Plan – January 2017 – December 2018
To support the implementation of The Concordat to Support the Career Development of Researchers*

*Research Active Staff include Research, Teaching and Academic Staff – LDC responsibility for learning and development for Research Students – Student Career and Skills
Many previous actions on the 2014-2016 Action Plan, have become embedded into everyday business and therefore not replicated on this current Action Plan.
** New HR Management System (initiated in 2017) will provide analytics and support themes A to F

ACTION NUMBER	KEY PRINCIPLES WITH DEFINED ACTIONS	ISSUE TO BE ADDRESSED	SUCCESS CRITERIA	RESPONSIBILITY FOR ACTION	TIMESCALE
A. RECRUITMENT AND SELECTION					
PRINCIPLE 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research					
1.1 NEW	Fast, reliable and informed recruitment process to enable tracking of applicants from application through to appointment.	The new HR Management System** (which becomes operational in 2017) to provide detailed recruitment/selection/retention information to inform the University and departments of the workforce profile. With the data this can lead to streamlining and improved processes/policies and procedures.	Improved recruitment/selection and retention through improved data analytics facilitating Informed decision making and reporting for appropriate Charter Marks.	HR Recruitment Team HR Engagement Team	Post implementation of new HR Management System January 2018.
1.2 NEW	Ensure the recruitment strategy is informed by diversity data by understanding the impact of internal and external changes.	Recruitment reflects local as well as national demographics. Highlighting data on protected characteristics Highlighting and improving gender and race demographics distribution in relation to Charter Marks.	Aspirations of an Improved diverse workforce by analytics and benchmarking.	HR Recruitment Team HR Engagement Team	January 2018
1.3 NEW	Improve the diversity of recruitment and selection panels and ensure that Chair of Recruitment Panels training is carried out every three years and that new Chairs receive the same training.	Monitoring the composition of diversity of Recruitment panels.	Measuring the diversity composition of the recruitment panels.	HR Recruitment Team Departments	Commenced 2017. Annual monitoring July 2017 and July 2018
1.4 NEW	Increase staff disclosure rates for all protected characteristics.	Improved and timely communication to new starters on benefits for disclosing personal information. Encouragement for existing staff to take the opportunity to update personal information when the new HR Management system is launched. Timely communication and agreement with staff around recording and disclosure.	5% improvement on current disclosure rates, which are monitored and reported annually in the work force profile.	HR Systems Team Departments	August 2017 and reported annually.
1.5 NEW	Unconscious Bias training for members on recruitment panels.	Encourage all staff, especially with recruitment responsibilities to take the newly launched Unconscious Bias Moodle.	Report on the number of people who have undertaken the Unconscious Bias Moodle.	Learning and Development Centre (LDC)	Commenced November 2016. 50% by Term 1 2018.

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			The number of staff who have attended the face to face workshops. Creation of annual Impact Report.		Annual monitoring July 2017 and July 2018.
1.6 NEW	Investigate progression routes at FA6 and FA7 researchers in the STEMM Faculty.	Examine recruitment processes in STEMM to ensure a good pipeline of entrants at FA6 and FA7 for research and research and teaching staff, who can then benefit from the good progression mechanisms already in place as a result of Athena SWAN work.	Reporting on the number of research staff at FA6 and FA7 who have progressed.	Departmental Recruitment Teams with HR Adviser	October 2017 and October 2018.
1.7 CONTINUATION	Development and Performance Reviews (DPRs)	University to provide L&D training on DPRs. To continue to embed quality expectations with existing staff through objective setting including during Development and Performance Reviews and throughout the recruitment process. Giving staff an opportunity to reflect on past performance as well as to look forward to new objectives and L&D needs. Measuring and monitoring the data and impact of DPRs to facilitate improvements.	Reporting by departments the number of DPRs undertaken, and monitoring low up-take areas for action.	LDC (DPR team) Departments Individuals	Annual monitoring July 2017 and July 2018
1.8 CONTINUATION	Development and Performance Reviews Training	Online resources will be developed to support staff in DPR completion.	Measure the impact of the training by web site hits, numbers of reviewers and reviewees trained.	DPR Team/LDC	End of each academic term (3 per annum)
1.9 CONTINUATION	Communication and guidance on the Promotion criteria for research active staff: Research Academic Teaching	To continue to host the Warwick 'Demystifying Promotion process' event to clarify the promotion process and required paperwork, so that staff can prepare themselves for promotion. Improved communication and promote information on the promotions process. Measure and monitoring the impact of the data and impact to facilitate improvements.	Numbers of staff attending the event and subsequently submitting for promotion. Feedback from attendees.	HR Promotions Team	March 2017 and March 2018 for event.
B. RECOGNITION AND VALUE					
PRINCIPLE 2: Researchers are recognised and valued by their employment 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.					
2.1 NEW	Create a work package on career-making and culture change by developing supportive actions to promote the career development of researchers (especially women) and contribute to addressing gender inequalities in decision making processes.	Creation of a Research Task force to provide evidence and best practice from Warwick departments to inform a work package on career decision making and culture change. Measure and monitoring the impact of the data and impact to facilitate improvements.	Showcasing and sharing of best practice between departments. Reported quarterly.	PLOTINA Project Lead: Dr C Tzanakou	Quarterly updates

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2.2 NEW	Extension of probation periods for early career researchers who have taken period of maternity/adoption leave.	Early career researchers/academics (Probationers on Assistant Professor contracts) to be given the opportunity to request an extension beyond the length of time they are absent due to maternity/adoption leave (up to 6 months (in addition to the period of time taken for maternity leave).	Number of people who have extended their probation due to maternity/adoption leave. Showcasing and sharing best practice as well as obtaining researcher/academic staff led recommendations.	Promotions Committee Chair and Secretariat	January 2017 and monitored termly and reported on annually – July 2017.
2.3 NEW	Conduct a focussed promotion survey specifically targeted at research active staff.	To respond to feedback from the 2016 PULSE staff survey, a focussed survey on promotion for research active staff (particularly those on full academic contracts) to ascertain if the current process is fit for purpose.	Actions identified to be implemented with a view to evaluating those actions and compare to the next PULSE survey results in 2018/19.	PULSE Sub-Group on Promotions Promotions Committee Chair and Secretariat HR Promotions Team	Survey launched December 2016 and sent to 2400 staff with closing date January 2017. Report on response Term 2 2017.
2.4 NEW	Case Studies on promotion to encourage and support promotion submissions, and to demonstrate promotion routes.	Collect case studies from individuals who have attended the annual 'Demystifying Warwick Promotion process' event, who then went on to successfully apply for promotion. Promote these case studies on the promotions web page of different job roles and routes to encourage and give confidence to other researchers seeking promotion.	Number of case studies per job role per grade.	HR Promotions Team	Term 3 2017 Term 3 2018
2.5 NEW	Share departmental best practice on promotion.	Collect specific examples of departmental best practice around the promotion process to share amongst other departments for publication on the promotions webpage. Improving the communication of the promotions criteria to research staff.	Number of best practice examples. Increased number of research active staff submitting for promotion.	HR Promotions Team	Term 1 2017 Term 1 2018
2.6 NEW	Promotion and monitoring of support available for staff taking maternity/adoption leave.	Promote to staff taking maternity/adoption leave what support is in place for them (including the availability of mentors) to support them with the transition back into the workplace. Continue to promote the option of 'Keeping in Touch Days'. Collate feedback, sharing benefits and considering recommendations.	Informed staff. Number of researchers taking maternity/paternity leave and increased uptake of mentors to assist transition back into the workplace.	HR Advisers	Throughout 2017 and 2018
2.7 NEW	Encourage, promote and monitor positive attitudes towards flexible working.	Improve communications to encourage positive attitudes towards flexible working, by providing case studies for the web pages to demonstrate the benefits to both the individual and the University on flexible working.	Monitoring the number of researchers formally requesting flexible working versus those that have been approved,	HR Advisers Departmental Administrators	Throughout 2017 and 2018

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		Host an annual focus group to obtain feedback and recommendations and share practice.	resulting in a change of contractual hours.		
2.8 CONTINUATION	Research and Impact Services (R&IS) to work with academic departments to inform on research opportunities.	R&IS to work with academic departments to inform researchers of fellowships and funding opportunities. Recording by R&IS Link Officers of one to one support provided; number of applications and success rates.	Increased number of Fellowship applications made by researchers.	R&IS Departments	Throughout 2017 and 2018, at least monthly
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					
3.1 NEW	Career support initiatives are innovative, fit for purpose and communicated to all research active staff (**also applicable to Principle 4**).	Review University support structures to ensure the best possible support for researchers at all career levels, by consulting with the Research Staff Forum and ensuring appropriate communication channels across campus. Providing a range of one to one/face to face/online resources or workshops for research active staff.	Increased numbers of research staff taking up career support training and one-to-one meetings. Increased representation of researchers from departments on the RSF. Impact Report and Case Studies	LDC Departments	Available for take-up throughout academic year and reported termly
3.2 NEW	Development of case studies of researcher profiles from Warwick's research community.	Career paths for researchers highlighted and showcased. Public Engagement with Research involvement and activities showcased.	Number of Case studies available on the web. Feedback from researchers. Case Studies of research staff engagement with the public, regularly featured and updated on the Community and Public Engagement webpages.	LDC with the Research Staff Forum Regional and Business Engagement (Public Engagement Unit)	Term 3 2017 and Term 3 2018 Term 2 2017 and ongoing.
3.3 CONTINUATION	Provision of a range of Leadership and Management Development Opportunities for research active staff (**also applicable to Principle 4**).	The University to offer a range of Leadership and Management Development courses to equip researchers with key skills in leading/managing teams to meet project requirements, e.g. Preparing for Leadership (PfL), Leadership in Action (LiA).	An increase uptake of researchers on leadership and management programmes. Feedback from attendees. Annual Impact Report	LDC	PfL - Term 1, 2017 and 2018 LiA – Term 2 2017 and 2018
3.4 CONTINUATION	Provision of a range of career development opportunities for research active staff, especially staff on fixed term contracts (**also applicable to Principle 4**).	The University to offer a range of career development support, through workshops, courses and one to ones, to equip researchers with key skills to key transferable skills for their career development.	Uptake on career development provision, number attending one-to-one career development sessions. Feedback from attendees.	LDC	Available for take-up throughout academic year and reported termly

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3.5 CONTINUATION	Fit for purpose Development and Performance Reviews (DPRs) (**also applicable to Principle 4**).	Performance and Development Reviews to enable discussions about career development/progression between research active staff and their managers.	Increased uptake of DPRs by researchers per job role.	LDC DPR Sub-PULSE Group Departments	July 2017 and July 2018
3.6 CONTINUATION	Provision of good coaching and mentoring schemes (**also applicable to Principle 4**).	Encourage participation by researchers in coaching and mentoring schemes available through LDC. Providing a blended learning approach for those joining or involved in coaching and mentoring schemes to support the growth of researchers.	Number of researchers trained in coaching and mentoring. Number of mentors/mentees trained. Number of coach/coaches trained. Feedback from attendees to identify whether the schemes have aided the research active staff in identifying and progressing their career path. Increased participation rates.	LDC	Reporting - July 2017 and July 2018. Blended training available throughout academic year.
3.7 CONTINUATION	Provision of a range of courses to enable research active staff to develop transferable skills to enhance their career development for a diverse, mobile global research environment (**also applicable to Principle 4**).	Development and delivery of a range of courses to develop transferable skills, delivered through embedded L&D training and opportunities, in order to stay competitive in both internal and external job markets.	Provision and up take of a number of courses, number of researchers per grade/per faculty to enhance research active staff development.	LDC	Training available for take-up throughout academic year and reported termly.
3.8 CONTINUATION	Provision of Research Staff Forum as a supportive networking group (**also applicable to Principle 4**).	Continue to ensure that all new research staff are invited to the Research Staff Forum to engage and network with other research active staff and to act as a consultation mechanism on research initiatives.	Number of research active staff attendees.	Research Staff Forum LDC	Meets once per term, 2017 and 2018
3.9 CONTINUATION	Ensure that students can access professional, independent advice on career management.	Provision of clear career guidance to all taught and research students, as well as application advice, mock interviews and workshops.	Feedback from students Case studies Employability statistics	Student Careers and Skills	Available for take-up throughout academic year and reported termly
3.10 CONTINUATION	Ensure that staff can access professional, independent advice on career management (**also applicable to Principle 4**).	Provision of clear career guidance to all research active staff, as well as application advice, mock interviews and workshops. Provision of learning and development support via one to ones, workshops and coaching.	Feedback from staff Case studies	LDC	Available throughout the academic term and reported termly.
3.11 CONTINUATION	To broaden the Warwick Shadowing Programme (now known as 'How Warwick Works') (**also applicable to Principle 4**).	To continue to develop the Shadowing Programme to enable more research active staff to participate and gain leadership skills. Tracking succession data and impact.	Increased participation rates by 40%.	LDC Senior Management Team	Start Date October 2016.

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		In response to need, to develop the financial planning workshop for 2016/17 academic year.			Review dates January and May 2017 and repeated 2018.
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 NEW	Development of opportunities for research active staff on impact and public engagement. **(also applicable to Principle 2)**	Supporting research active staff to increase their awareness and develop initiatives for sharing impact and/or public engagement opportunities. Measuring and monitoring impact.	Development of a Public Engagement Unit (PEU) Participation in University wide Public Engagement Network (PEN – currently 180 members) Training in PE and media work Best practice/knowledge sharing Case studies	Regional and Business Engagement LDC R&IS and Impact Officers Press Office	PEU set up by March 2017 Annual PEN day workshop Available for take-up throughout academic year and reported annually.
4.3 CONTINUATION	Develop and support research active staff networks providing 'pump-priming' funding enabling personal and/or career development. **(also applicable to Principles 2 and 3)**	Continue to support research active staff networks to assist with career and personal development, thereby building a research community.	Annual Impact Report Number of networks supported.	LDC	Launched annually in September 2016 for 2016/17 programme and 2017 for 2017/18 programme and reported in July each year.
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					
5.1 NEW	Focus on the relationships between research and excellence, education, innovation and capacity building.	To bring together universities that have demonstrable excellence in teaching, research and policy formation from across Europe to collaborate on the creation of innovative solutions to some of Europe's most intractable scientific and social challenges. Sharing practice and showcasing various initiatives.	Demonstration of excellence in teaching, research and policy formation. Discovery of innovative solutions to scientific and social challenges. Report and promotion of research.	PVC (PG and Transnational Education) PVC for Research	Ongoing and reviewed termly at the Research Committee.
5.2 NEW	Research active staff to be familiar and to be able to map their development to a competency framework, e.g. researcher development framework (RDF).	To promote the RDF to research active staff by signposting and embedding the competencies in learning and development provision.	Increased awareness and ensuring our provision is mapped to research competency framework	LDC	Annually at DPR Annual Reporting.
5.3 CONTINUATION	Publicise and encourage engagement with Warwick Ventures and the Regional and Business Engagement Team.	Develop mechanisms for identifying, developing and supporting research leaders to head up new large-scale research initiatives and funding applications. Promotion of the initiatives through case studies/showcasing opportunities. Measuring and monitoring impact.	Increased number of research initiatives and funding applications/successes. Annual Public Engagement Fund to support at least 10 projects that show potential excellence	Warwick Ventures Regional Business and Engagement Team Public Engagement Unit	Termly and reported bi-annually. PE Projects reported on annually (2016, 2017 ongoing) with

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			in PE and ongoing learning and development.	R&IS	follow up on progress after a year.
5.4 CONTINUATION	Generate impact and a commercial return from research.	Continue to provide assistance with generating impact and a commercial return from research.	Increase in commercial return and reputation of Warwick researchers	Warwick Ventures R&IS	Available for take-up throughout academic year and reported annually
E. EQUALITY AND DIVERSITY					
PRINCIPLE 6: Equality and Diversity must be promoted in all aspects of the recruitment and career management of researchers					
6.1 NEW	Ensure that our strategic partner institutions have at least the same Equality and Diversity standards to match our own.	Formalise a process for assessing the values and Equality and Diversity standards of partner institutions where our staff and students go to work on our behalf where we have members of university staff.	Warwick staff are treated with the same standards at partner institutions as they are at Warwick.	Equality and Diversity Committee	Annually July 2017 and 2018
6.2 NEW	Enhance Equality Objectives 2016-2020 in line with University strategy.	Create a measurable objective on Equality and Diversity that will be embedded into all six goals of the University Strategic Plan.	All six goals of the University Strategy to have Equality and Diversity elements embedded.	The Provost (as Chair of the Equality and Diversity Committee)	Annually July 2017 and 2018
6.3 NEW	All Equality and Diversity papers are above the line at University meetings.	Ensure that Equality and Diversity appears as an 'above the line' agenda item at all relevant university committees, including Senate and Council.	Council and Senate membership to have an appreciation of all equality and diversity activities.	The Provost (as Chair of the Equality and Diversity Committee)	Termly 2017 and 2018
6.4 NEW	By continuing participation in Charter Marks we aim to embed equality and diversity.	Ensure equality and diversity is embedded into all policies and procedures and training and development. Provision of resources and participation from institutional representatives to the Charters	Continued success in Charter Mark submissions by increasing the number of departments with Charter Mark awards.	HR LDC Research Committee	Athena April and November each year. Race February and July each year HR Excellence January 2017. Stonewall September each year.
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					
7.1 NEW	Engagement and participation of internal stakeholders who support and develop research active staff.	Monitoring, evaluating and improving the provision for research active staff in a dynamic and demanding research environment.	Successful collaborations Showcasing Profile Warwick	Institute of Advanced Studies Institute of Advanced Teaching and Learning Warwick Ventures Library LDC HR R&IS	Available for take-up throughout academic year and reported annually.

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				Public Engagement Unit Research Committee PVC for Research	
7.2 NEW	Engagement and participation of external stakeholders who support and develop research active staff.	Monitoring, evaluating and improving the provision for research active staff in a dynamic and demanding research environment.	Successful collaborations Warwick research active staff profiling opportunities.	Midlands Researcher Development Forum Funding Bodies Appropriate regional and national research related stakeholders.	2017 onwards