**University of Warwick – HR Excellence in Research & HR Excellence Action Plan**

**2 Year Review Action Plan – January 2015 – December 2016**

**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 training and for Research Students – Student Careers and Skills**

**NOTE: Progress against this action plan is monitored and up-dated annually and subsequently presented to the Research Committee and the Research Staff Forum for comment and discussion. Timescales will be amended accordingly with progress, so it should be noted that currently the plan only comments on activity up until December 2015, after which the reviews will take place and timescales updated as appropriate.**

|  | ***Concordat Clause*** | ***In place*** | ***Actions*** | ***Lead(s)*** | ***Progress/Dates*** | ***Timescale*** | ***Success Measure*** | |
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| **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 | 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/>. | New Research Strategy developed and to be communicated across campus. | Research Committee – Chaired by Pro Vice Chancellors (PVC) for Research | Research Strategy to be completely reviewed and developed to align with new University Strategy. | Spring Term 2015 | Strategy to be completed and published by Summer Term 2015 | |
| Recruitment and Performance and Development Reviews | To continue to invest in the recruitment and development of the best staff, creating the conditions for them to achieve the highest levels of international career success.  To continue to embed quality expectations with existing staff through objective setting including during performance development reviews and throughout the recruitment process. | HR to lead on Recruitment Policy.  LDC on Performance and Development Reviews | Recruitment and Selection Process under major review.  Annual Reviews are being modified and re-titled to ‘Performance Development Reviews’ (PDRs) and the timetable will align with merit pay and senior salary reviews. | Spring Term 2015  January 2015 | Efficient, effective recruitment process (i.e. reduced lead time)  Increased up-take of PDRs | |
| Clearly defined University Recruitment Procedure  (HR Recruitment Website)  <http://www2.warwick.ac.uk/services/humanresources/introduction/> | Warwick’s commitment is to be demonstrably a centre of world class research and innovation across all academic disciplines. It is therefore essential to maintain focus on the quality and impact of research and to ensure that this becomes embedded into our quality expectations in our internal processes, in particular those to support and develop existing staff and in the appointment processes when we seek to recruit new talent. | HR | A new HR Director of Organisational Development post to be advertised, whose duties will include talent management. | January 2015 | Person in post by April 2015 | |
| 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.  Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason. | University role profiles have well-defined role requirements for Research Active Staff (RAS).  There are job descriptions and person specifications for each role and the shortlisting process is matched to the person specification.  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/> | HR to communicate and roll-out to the wider University community the new Recruitment forms and processes. Monitor feedback from the process and to make the necessary adjustments.  To re-visit the way in which advertisements are worded and displayed, to ensure that the posts appeal to a more diverse pool of candidates  To advise recruiting departments to ensure that recruitment panels have undertaken the on-line module ‘Recruitment and Selection’. Review completion data on an annual basis.  HR to check justification of fixed term contract appointments. | HR  HR  Monitored by LDC/HR | Recruitment and Selection Process under major review. | February 2015  June 2015  To be reviewed in October 2015 | Feedback, and the level of turn-around each post takes, from request for a post through to appointment.  Feedback, and increased diverse pool of candidates  Increased completion data of module | |
| 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 HR Fixed Term Contracts Website) <http://www2.warwick.ac.uk/services/humanresources/newpolicies/ftcs>  In addition the University has comprehensive Redeployment  Guidelines (University HR Redeployment Website)  <http://www2.warwick.ac.uk/services/humanresources/newpolicies/redeployment> | Ensure appropriate consultation meetings are held with staff on fixed term contracts. This message will be reinforced as part of our Athena/GEM Agenda.  Ensure staff are aware of, and encouraged to, participate in the University Redeployment process. | HR Advisers  HR/Departments |  | To be reviewed in Summer Term 2015  December 2015 | Feedback and increased uptake of consultation meetings  Increased number of staff being redeployed into alternative posts | |
| 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 HR Recruitment Website) <http://www2.warwick.ac.uk/services/humanresources/introduction/> | Continue to ensure that guidance on Recruitment is clear and transparent. | HR | Recruitment and Selection Process under major review. | February 2015 | Feedback from stakeholders | |
| All roles are advertised with a job description and person specification detailing essential and desirable criteria and candidates are matched against the criteria. | All staff involved in recruitment and selection are advised of good practice on shortlisting. | HR, Departmental Interview Panels |  | To be reviewed December 2015 | Feedback from stakeholders | |
| Recruitment panels reflect diversity, where possible, to promote the University's ethos of an inclusive working environment for all. | Panel compositions are gender balanced, endeavouring to have at least one women on the panel but taking care not to over-burden the same females with endless interview panels. | Departmental Interview Panels/HR | As part of the Recruitment and Selection review, panel compositions will be developed further and all Chairs of Panels will attend mandatory training (E&D), followed by panel members. Panellists will be expected to refresh their training every 2-3 years. | Summer Term 2015 | All Panel Chairs to have been trained | |
| Two e-learning modules are available - ‘Recruitment and Selection’ and ‘Diversity in the Workplace’. It is encouraged and recommended that all staff involved in recruitment and selection exercises take both modules: (University Equality & Diversity Training website) <http://www2.warwick.ac.uk/services/equalops/training/> | Completion rates of recruitment training will continue to be monitored and reported to the Equality and Diversity Committee on an annual basis. | HR Shared Services |  | Reviewed in October 2015 | Increased number of staff taking module | |
| The Academic Promotions Committee has received training on equality and diversity and all promotion applicants are provided with feedback. | To continue to host the annual Warwick ‘Demystifying the Promotion Process’ which clarifies the promotion process and advises staff on how to prepare themselves for promotion. Speakers include Pro Vice Chancellors and Members of the University Promotion Committee. | HR/Promotions Ctte | The next ‘Demystifying the Promotion Process’ event has been scheduled for **5 March 2015**. | Reviewed in April 2015 | Numbers attending the event and subsequently going for promotion | |
| 1.5 | The level of pay or grade for  Research Active Staff 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/salscalescurrent/> | In conjunction with the new pay audit, review grading structure to ensure the requirements of research posts are consistent with the wider pay and grading structure. | Reward Manager |  | Summer Term 2015 | Requirements of research posts are consistent with wider pay and grading structure | |
| **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 | 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 HR 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: (University LDC website) <http://www2.warwick.ac.uk/services/ldc/researchers/> | Review University support structures to ensure the best possible support for researchers at all career levels, regardless of type of contract of employment.  Ensure researchers continue to develop whilst at Warwick, so that their skills and knowledge position them to be named on future research contract submissions. | HR/RSS/Academic Stake holders  LDC/Departments |  | To be reviewed Summer Term 2015  To be reviewed  Summer Term 2015 | Feedback and increased numbers of researchers taking up training support**.**  Feedback and increased numbers of researchers taking up training support**.** | |
| 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 HR Fixed Term Contracts Website) <http://www2.warwick.ac.uk/services/humanresources/newpolicies/ftcs>  The Guidelines were developed following a review of the JNCHES guidance. | The breakdown between fixed term, indefinite roles and part-time and full-time are collected in the Annual Workforce Profile report which is presented at the Equality and Diversity Committee each October. The report is then progressed through Senate and Council meetings. Information can be extrapolated and presented at the Research Committee if necessary.  The Workforce Profile to be published on the Equality and Diversity Webpages annually. | HR/E&D Team  HR/E&D Team |  | Next report is due October 2015  October 2015 | That any detrimental trends are identified and appropriate action taken | |
| 2.3 | Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities. | 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) <http://www2.warwick.ac.uk/services/ldc/development/rtlp/>    In addition Research Team Leaders can attend the Warwick Administrative Management Programme (WAMP) and the Warwick Leaders Programme (WLP) ,  and the Warwick Introduction to Management (WIM)(University LDC Website)  <http://www2.warwick.ac.uk/services/ldc/leadership/mgmtdev/>  Performance Development Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Performance Development Review Website) | Every second year the Research Team Leaders’ Programme will continue to be open to research managers. Programme ran from **23 Jan to 7 March 2013** and had **15** attendees.  Continue to track the number of staff registered on each programme.  In 2013 and 2014, the University sent two female members of staff on the Aurora Leadership for Women course.  In line with fixed term contract reviews, many departments hold six month career development review meetings, which some staff believe negates the need for a formal Performance Development Review. Encouragement will be given to staff to have Performance Development Reviews as well as the usual career development reviews.  The LDC website also has resources for self- directed learning and videoed resources: <http://www2.warwick.ac.uk/services/ldc/courses/sdl/> | LDC  LDC  LDC  LDC/Departments  Admin Shared Services  LDC | The Research Team Leaders’ Programme is scheduled to run in Term 2 in **2015.** | Review in Summer Term 2015    Summer Term 2015  Summer Term 2015  July 2015  End of Summer Term 2015 | Review feedback and number of attendees  Feedback and number of attendees  Feedback for attendees  Number of staff undertaking Performance Development Reviews  Number of hits on resources website | |
| 2.4 | Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective. | The Research Councils' Follow-on Fund provides small grants to help researchers to bridge the funding gap:  <http://www.bbsrc.ac.uk/business/commercialisation/follow-on.aspx>  http://www.stfc.ac.uk/1474.aspx  Warwick Ventures Ltd provide advice and services to the University’s innovators -  (University Warwick Ventures Funding Sources Website)  <http://www2.warwick.ac.uk/services/ventures/academicscontact/funding_sources>  HR and RSS web information up dated regularly. | RSS have link officers that work with academic departments to inform Research Active Staff of fellowships and funding opportunities.  Increase our research income through existing and new funding streams, maximising transnational sources including Horizon 2020, collaborations with our overseas partners and the European Commission’s educational agenda.  Develop mechanisms for identifying, developing and supporting research leaders to head up new large-scale research initiatives and funding applications.  Continue to provide assistance with generating impact and a commercial return from research.  Ensure adequate signposting to assist researchers find appropriate information. | RSS/HR/ Warwick Ventures  RSS/Research Ctte  RSS/Research Ctte  Warwick Ventures  /RSS  HR/RSS |  | Summer Term 2015  Summer Term 2015  To be reviewed in December 2015  To be reviewed in December 2015  Summer Term 2015 | Increased number of Fellowship applications/ success  Increased research income  Increased number of research initiatives and funding applications/ successes  Increase in commercial return  Feedback and number of hits on website. | |
| 2.5 | Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework. | 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 HR Website. (University HR Academic Promotions Website) <http://www2.warwick.ac.uk/services/humanresources/newpolicies/academic_promotions>    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 published on the University Webpage. | Promotion data is reported annually to the University's Equality and Diversity Committee, who interrogate the data and address any adverse trends.  Encourage researchers to attend the annual ‘Demystifying Warwick’s Promotion Event’ for clarification of promotion criteria.  It is anticipated that the next pay review will take place in the latter part of **2015.** | HR/EDC/MOAC/ LDC  HR/E&D team  Reward Manager |  | October 2015  March 2015  December 2015 | Comparison of numbers of staff applying for and achieving promotion.  Feedback and number of attendees  That no disparity exists in framework grades. | |
| 2.6 | Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies. | Comprehensive Guidelines for Academic Promotions are published on the HR Website. As well as the website this is communicated to departments via email annually. (University HR Academic Promotions Website) <http://www2.warwick.ac.uk/services/humanresources/newpolicies/academic_promotions>  There is a clear process which identifies criteria to progress to Senior Research Fellow and Principal Research Fellow and Professorial Research Fellow.  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/personal/careerprog/>  Performance and Development 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/>  Six month career development meetings with line managers are being actively encouraged within departments. | Annual Promotion event ‘Demystifying the Promotion Process’ invites all research, teaching and academic staff to become more familiar with promotion criteria and gives an opportunity for staff to talk to the University Promotion Group and Senior Management.  Some departments as part of their Athena SWAN work, hold their own departmental promotion awareness events, which is open to all research active only and teaching staff. This best practice is being replicated by other departments.  Signposting on the University intranet has been enhanced on existing career development opportunities for early career researchers.  A New Performance and Development Review is being introduced from **January 2015**. Training will include more specific prompts on the potential content of a constructive career development conversation that encourages staff to think holistically about career options and achieving progress.  In line with the fixed term contract process, STEMM departments undertake 6 month career development reviews with researchers as part of their Athena agenda. This best practice is being rolled out to other faculties. | HR  Departments  LDC  LDC/HR  Departments |  | March 2015  Events throughout 2015  To be reviewed October 2015  January 2015  To be reviewed at end of Summer Term 2015 | Feedback, number of attendees and subsequent number of staff submitting for promotion**.**  Feedback and number of events and attendees  Number of hits to website.  Feedback and number of staff engaging with the process.  Number of non STEMM departments undertaking six month reviews for staff on FTCs. | |
| **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 | 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. | Role profiles clearly indicate that research staff should identify themselves as part of the academic community at the University.  Performance and Development Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Performance and Development Review Website)  <http://www2.warwick.ac.uk/services/ldc/annualreview/>  Research staff have access to comprehensive training in transferable skills. (University LDC Training Programme Website) <http://www2.warwick.ac.uk/services/ldc/researchers/events_news/ras_events>  MOAC delivers 2 postgraduate certificate in transferable skills for Post-Docs and students in Science which enables Post-Docs /students to evidence their learning in core transferable skills. (University MOAC Website) <http://www2.warwick.ac.uk/fac/sci/moac/degrees/> | 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.  Monitor take-up of Performance and Development Reviews by research staff.  To ensure appropriate career development courses and one to one sessions continue to be organised. Monitor take up, so it is understood what is required and popular, so that resources can be put in required topics.  Continue to monitor uptake and progress of researchers taking the PGCTSS which is now accredited for CChem with the Royal Society of Chemistry. | LDC  LDC/HR  LDC  MOAC |  | Summer Term 2015  May 2015  To be reviewed end of Summer Term 2015  To be reviewed end of Summer Term 2015 | Number of staff receiving training  Feedback and number of staff receiving reviews.  Number of staff taking up courses and attending career development sessions.  Number of staff undertaking PGCTSS. | |
| 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. | Career coaching through LDC available for all Research Staff (University LDC Careers Website)  <http://www2.warwick.ac.uk/services/ldc/personal/careerprog/>  Self-help career development materials are offered (University LDC Career Development Website) <http://www2.warwick.ac.uk/services/ldc/researchers/events_news/ras_events>  Information is provided on successful transition to non-academic careers  (University Careers & Skills Website) <http://www2.warwick.ac.uk/services/scs>    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>  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/community> | Continue to 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.  LDC provides 1:1 career development support to staff.  Monitor the rates of researchers leaving academia to take up alternative non-academic careers.  Ensure website is regularly kept up to date.  Continue to Monitor up-take of mentoring scheme  Continue to invite Postdoc newcomers to Research Staff Forum lunches so they can meet their representatives and other key people (i.e. LDC & Library contacts) and find out what RSF does for researchers.  Ensure that newcomers are put on the email distribution lists for the monthly electronic Newsletter. | LDC/Careers and Skills  LDC  Careers & Skills team/HR  Careers & Skills team  LDC  Research Staff Forum/HR  LDC |  | To be reviewed end of Summer Term 2015  To be reviewed end of Summer Term 2015  Summer Term 2015  Review end of Summer Term 2015  Review end of Summer Term 2015  Review end of Summer Term 2015  Throughout 2015 | Increased participation rates in Coaching and Mentoring Programmes plus feedback.  Number of staff receiving 1:1 career development support.  Clear career destination of leavers.  Feedback and number of hits to website.  Number of staff on mentoring scheme plus feedback.  Increased number of Postdocs attending Research Staff Forum and feedback.  Fully maintained and fit for purpose email distribution list. | |
| 3.3 | Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter | 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_ethics/research_code_of_practice/trainingandmentoring/mentoring/>  LDC also offer Coaching and mentoring (University LDC Coaching and Mentoring website) <http://www2.warwick.ac.uk/services/ldc/coachmentor/>  Support is offered to research staff in skills such as writing grant proposals; CVs; giving presentations. (University Development webpage) <http://www2.warwick.ac.uk/services/ldc/researchers/events_news/ras_events/> | Range of provision and take up to be monitored by LDC and reported regularly to Research Committee.  Encourage take-up of courses offered to research staff and ensure courses are widely publicised in various media, such as: website, monthly Newsletter, posters, meetings etc. | LDC/Research Ctte  LDC/Departments |  | Review end of Summer Term 2015  Review end of Summer Term 2015 | Number of staff taking up provision of training.  Number of staff taking up provision of training; number of hits to website. | |
| 3.4 | All employers will wish to review how their staff/students 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. | **See Sections 3.2 and 3.3**  Student Careers and Skills offer 1:1 career guidance to all taught and research students, as well as application advice, mock interviews and workshops.  New dedicated website to support Research Students’ skills and career development launched **Summer 2014**: [www.warwick.ac.uk/pgskills](http://www.warwick.ac.uk/pgskills) , including new PhD alumni career stories: <http://www2.warwick.ac.uk/services/scs/pgr/career/destinations/careerstories/>  Information disseminated on what Warwick postgraduates do after their degree.  <http://www2.warwick.ac.uk/services/scs/started/gradstats/postgraduate/>  2 annual events for research students: Careers Beyond Academia day, PhD Employer Networking Event.  Selected elements of our pilot Postgraduate Researcher Enterprise Programme from **2012**, notably the entrepreneurship scheme and an Enterprise Café, have continued within Student Careers & Skills integrated provision.  Work experience advice and bursaries available for all students: <http://www2.warwick.ac.uk/services/scs/experience/bursary>  LDC offer career development opportunities to researchers (University LDC webpage)  <http://www2.warwick.ac.uk/services/ldc/personal/careerprog/>  New career development website for Research Active Staff which includes short lunch time information sessions as well as half day workshops.  In **2013/14**, 19 career consultations were funded for staff. 6 workshops took place. | Review and re-package career development provision specific to doctoral students  Evaluate usage of new website and develop further advice and resources regarding breadth of post-doctoral career choices, in connection with review noted above.  **2015** Careers Beyond Academia event to be digitised for greater reach.  Develop and promote new Warwick Enterprise Pathway – a support system for all students with an enterprising idea.  Ensure the promotion and continuation of career development opportunities and for LDC to monitor up-take. | Board of Graduate Studies Skills Working Group  Student Careers and Skills Team  Student Careers and Skills Team  Warwick Enterprise Partnership  Student Careers and Skills Team  LDC | Initial framework outlined; consultation process to being in **January 2015**.  Enterprise website created: <http://www2.warwick.ac.uk/fac/cross_fac/enterpriseatwarwick/> | To be reviewed in October 2015  October 2015  May 2015  To be reviewed end of Summer Term 2015  December 2015  End of Summer Term 2015 | Adequate progress in line with results of consultation, which may determine particular actions.  Usage of website and feedback.  Successful digitisation of event.  Feedback and numbers of students using the Enterprise Pathway.  Number of placements and bursaries taken up.  Take up of career development opportunities plus feedback. | |
| 3.5 | Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies. | The 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. A Performance and Development 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/>  Career information communicated to all Research Staff on Website (University LDC Careers Website)  <http://www2.warwick.ac.uk/services/ldc/researchers/opportunities/>  LDC have produced a monthly newsletter since **2009** 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. (University LDC Website) <http://www2.warwick.ac.uk/services/ldc/> | Review promotion statistics to identify rates of researcher promotion and qualitative evidence as to why researchers are unsuccessful for promotion.  Ensure that up-to-date and fit for purpose information is published in the monthly Newsletter and on the website.  Continue to produce and circulate the monthly Newsletter, ensuring that staff development and funding opportunities are included. | HR  LDC  LDC |  | October 2015  Monthly  Monthly | Numbers applying for promotion correlate to those receiving it.  Feedback and informed employees  Feedback and informed employees | |
| 3.6 | Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the 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. | 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. (University LDC Website)  <http://www2.warwick.ac.uk/services/ldc/researchers/>  STEMM departments as part of their Athena SWAN work have induction programmes and documents specifically aimed at different categories of staff including academic and research staff. | Monitor attendance at University Induction Events.  Encourage more departments to review their induction process and documentation on a regular basis to ensure that it is fit for purpose and as informative as possible.  Share best practice with other disciplines. | HR/Departments  HR/LDC  Departments |  | To be reviewed in September 2015  Review end of Summer Term 2015  Summer Term 2015 | Numbers of staff attending university induction event and feedback.  Feedback and number of hits to website.  Feedback from staff and best practice shared to non-STEMM departments. | |
| 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 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. | 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.  Warwick’s Performance and Development 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 Performance and Development Review Website)  <http://www2.warwick.ac.uk/services/ldc/annualreview/>  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/>  LDC Teaching and Learning webpage:  <http://www2.warwick.ac.uk/services/ldc/tandl/>  Vitae website for researchers:  <http://www.vitae.ac.uk/> | Continue to plan staff development provision based on feedback from stakeholders and Research Staff Forum through Research Committee.  To broaden the University’s Academic Shadowing Programme to include research staff. | University/Funding Councils/ Research Ctte/ Research Staff Forum/individuals  LDC/HR |  | October 2015  To be reviewed end of Summer Term 2015 | Feedback  Increased number of staff participating in the Programme. | |
| 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. | Career Development available to all Research Staff (University LDC Career Progression Website) <http://www2.warwick.ac.uk/services/ldc/researchers/opportunities/>  Mentoring Scheme open to all Research Staff (University RSS Mentoring Website) <http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics/research_code_of_practice/trainingandmentoring/mentoring/>  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>  All research staff receive the Researchers Newsletter once a month which highlights key information on personal and career development opportunities. (University LDC Website)  <http://www2.warwick.ac.uk/services/ldc/researchers/opportunities/> | Continue to update Research Staff Forum to ensure new members are aware of support and development opportunities available.  Advise Research Staff Forum of new PDRA's to enable the Forum to contact staff and invite them to the forum.  Ensure all Research Active Staff receive a copy of the Monthly Newsletter. | HR/Research Staff Forum  LDC |  | October 2015  Review end of Spring Term 2015  Monthly | Feedback and increase in staff taking up development opportunities  Up-to-date list of staff to ensure that the list is fit for purpose.  Feedback | |
| 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. | LDC offers academic writing retreats to researchers (University LDC web resources) <http://www2.warwick.ac.uk/services/ldc/development/awpbootcamp>  Research Support Services provide guidance for researchers in making funding applications, managing a project, managing finances, evaluation and communication of project output. (Research Support Services) <http://www2.warwick.ac.uk/services/rss> | Encourage all staff to take responsibility for their personal and professional development and to have access to time to do so.  Evaluate existing CPD provision and add relevant material to LDC webpages for Research Active Staff. | LDC/Student  Careers & Skills  RSS |  | Review end of Summer Term 2015  Review end of Summer Term 2015 | Increased number of staff taking training and development courses.  Continuation of guidance on offer and feedback. | |
| **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 | 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. | Performance and Development 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/>  Career Development self-help material is available to all Research Staff (University LDC Career Progression Website) <http://www2.warwick.ac.uk/services/ldc/researchers/resource_bank/>  Six month career development meetings with line managers are being actively encouraged within departments. | Encourage take-up of Performance and Development Reviews by researchers. Monitor take-up on an annual basis and report to Research Ctte.  Ensure self-help material is kept up-to-date.  Ensure that appropriate consultation meetings occur where career development is discussed. | HR/LDC/  Departmental HoDs and Line Managers  LDC  Departments/HR |  | May 2015  To be reviewed July 2015  To be reviewed July 2015 | Increased number of staff having reviews.  Feedback  Feedback | |
| 4.2 | Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another. | 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/>  • Research  • Teaching  • Leading and Managing People  • Professional Development (e.g. Communicating, time management, managing working relationships)  • The Academic Writing Programme  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. (University Nursery website)  <http://www2.warwick.ac.uk/services/nursery>  (University LDC Training, Professional and Personal Development Website) <http://www2.warwick.ac.uk/services/ldc/researchers/>  Performance and Development Review process and training for all reviewers and reviewees, face to face and online (University LDC Website for Performance and Development Reviews). <http://www2.warwick.ac.uk/services/ldc/annualreview>  All provision mapped to the nationally recognised (Vitae) Research Development Framework. | Piirus (e-portfolio) has been launched globally and enables researchers to record skills, knowledge, training taken, research interests etc. so that other users can access this information for possible collaborations.  Monitor up-take of the use of Piirus by researchers and ensure that new research staff are aware that Piirus exists and what it’s function is. Departments to provide links to Piirus in their induction documentation for researchers.  To continue to promote the conference care fund to ensure that staff do not miss out on opportunities to attend workshops/training/ conferences that are essential for their studies and development.  Monitor budget against up-take to ensure appropriate funding is available.  Continue to monitor up-take of this arrangement. | LDC/Piirus Team/  Departments  Athena Steering Group/Conference Care Group/E&D Team  Nursery/HR  LDC | Vitae Membership Model 2015 – Warwick signed up for 18 months. | To be reviewed July 2015  To be reviewed July 2015  To be reviewed July 2015  To be reviewed May 2015  To be reviewed in December 2015 | Number of researchers registering on Piirus and that Departments promote Piirus in Induction material.  Increased number of staff applying for support.  Number of staff taking advantage of this arrangement.  Number of staff being trained as reviewers and as reviewees. | |
| 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. | Develop the next generation of research scholars through our Doctoral Training Partnerships, enhancing skills provision through opportunities offered by departments, services and the Institute of Advanced Study.  LDC offers introductory seminars on teaching for researchers (University LDC Website) <http://www2.warwick.ac.uk/services/ldc/researchers/events_news/ras_events/> | Develop mechanisms for the encouragement of, and development in, excellence in research-led teaching and the dissemination of good practice.  The University to endeavour to provide the appropriate training, skills based workshops to encourage research staff to participate in research-led teaching activities.  The University to continue to run science communication courses for researchers, as well as other appropriate workshops/ seminars. | University/  Departments/LDC/  Research Ctte/ DTC’s  MOAC/LDC (Teaching and Learning Unit) |  | September 2015  August 2015 | Number of staff taking up training.  Number of staff attending workshops and seminars. | |
| 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. | 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.  Each department is encouraged to send a representative to the Research Staff Forum. | Representatives to be encouraged to attend relevant departmental and wider University meetings, such as the Athena Network Group and Juno (Physics); the Equality and Diversity Network Group; Departmental Welfare and Communication Groups etc.  Monitor engagement and report to Research Committee | RSS/Departments/ Athena Network; Equality and Diversity Network;  Research Staff Forum  Research Staff Forum |  | End of Summer Term 2015  To be reviewed in July 2015 | Appropriate numbers of research active staff participating in meetings.  Appropriate researcher representation at meetings. | |
| 4.5 | Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement. | Mentoring Scheme available to all Research Staff (University RSS Mentoring Website) <http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics/research_code_of_practice/trainingandmentoring/mentoring/>  The Warwick Coaching and Mentoring Scheme open to all staff including researchers: (University LDC Coaching & Mentoring Webpage) <http://www2.warwick.ac.uk/services/ldc/coachmentor/wcm>  Plus other departmental initiatives  Mentors are available for Returning Parents to support the transition back into the workplace.(University LDC Website)  <http://www2.warwick.ac.uk/services/ldc/coachmentor/returningparent> | Monitor use of existing central mentoring schemes by researchers to consider whether additional mentors need to be trained.  Warwick Medical School in conjunction with LDC have replicated the Coaching and Mentoring Scheme within the Medical School. Look to share this best practice with other large Schools/Departments.  Monitor the up-take of returning parents requesting mentors. | LDC  LDC  LDC/HR |  | To be reviewed in July 2015  June 2015  To be reviewed in July 2015 | Through participation numbers, determine if more mentors are required**.**  Uptake of this scheme in other departments**.**  Having sufficient mentors in place to deal with demand. | |
| **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 | Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers. | University Governance and Guidelines on expectations of Research Staff. (University RSS Governance & Ethics Website) details the expectations of Warwick researchers whilst referencing the RCUK and UK Research Integrity Office. <http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics/>  There is encouragement within departments for research staff to join professional networks, attend conferences and workshops and present their work.  Sharing of good practice through dissemination of events and case studies and through the Research Staff Forum and LDC website.  The University operates a Study Leave scheme which provides researchers with dedicated research time in order to increase their opportunity for output. | Ensure as part of research staff induction procedures, staff are encouraged to join professional networks.  Monitor the up-take of study leave by Research Active Staff | RSS  Departmental HoDs  LDC  HR/ Departments |  | To be reviewed July 2015  Review in May 2015  Review end of Summer Term 2015  September 2015 | Availability of clear guidance.  Feedback from researchers.  Feedback  Feedback and having appropriate case studies for website.  Number of research staff applying and being successful in gaining Study Leave. | |
| 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. | 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/> | Publicise Warwick Ventures work through webpages for researchers including RSS, HR and LDC. | Warwick Ventures, RSS, Student Careers and Skills  Enterprise at Warwick |  | October 2015 | Feedback, improved commercial return and reputation of researchers. | |
| 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. | University Governance and Guidelines on it’s expectation of Research Staff. (University RSS Governance & Ethics Website) <http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics/>  Following the publication of:  The RCUK Policy and Guidelines on Governance of Good Research Conduct, **February 2013** and the UK Research Integrity Office (UKRIO) Code of Practice for Research: Promoting good practice and preventing misconduct, **September 2009**, the University produced a revised Research Code of Practice, drawing on the sector guidance from the RCUK and UKRIO, to provide a clearer and more concise statement of guiding principles of research good practice, which links to the more detailed standards, policies, procedures and training materials provided as web-based resources. This single Code of Practice replaces previous more complex series of documents, which included; the Research Code of Conduct; the Statement of Ethical Conduct of Research; the Guidelines on Ethical Practice.  RSS to introduce revised training in research governance for all researchers | Work on the University's research governance resources is consistently ongoing.  The University offers a wide range of training for researchers to enable them to carry out their duties and to develop their knowledge and skills throughout their career, repeating training where necessary to ensure that skills are kept up-to-date. Researchers should identify needs for training when they arise and report them to their manager or other appropriate person as identified by their department.  The International Conference on Harmonisation of Technical Requirements for Registration of Pharmaceuticals for Human Use (ICH) Good Clinical Practice (GCP) and Medical Research Council GCP guidelines both state that "Each individual involved in conducting a trial should be qualified by education, training and experience to perform his or her respective task(s)." To comply with these regulations, all members of staff must maintain a complete record of their ongoing personal development to demonstrate that they are competent to perform duties appropriate to their role in each trial.  To comply with this principle, all members of staff must maintain a complete record of their ongoing personal development and training received to demonstrate that they are competent to perform duties appropriate to their role in each trial, whether this is general or trial specific training. Warwick CTU SOP 24- 'Training Records' describes the procedure for setting up and maintaining a Personal Development Folder (PDF) to ensure that all training is documented.  It is compulsory for those involved in commercial medical research to have Good Clinical Practice training every two years. | RSS  RSS/LDC |  | To be reviewed September 2015  July 2015 | Feedback  Uptake of staff taking training courses. | |
| 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/Student Careers & Skills | Careers advice and appropriate development resources available through LDC and Careers and Skills. | July 2015 | Feedback | |
| 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. | Careers guidance to Researchers is based upon the premise that all staff, including Researchers, take responsibility for their own career decisions and progression.  Piirus offers researchers the opportunity to network and collaborate in order to develop their research profile. | Disseminate to other disciplines the success of the Warwick Medical School Network, which encourages staff to take responsibility for their personal and professional development.  Monitor the development of and up-take of membership of Piirus. | LDC/HR/Athena Network Group  Piirus team |  | May 2015  September 2015 | Increase in number of researchers registering for training. Feedback.  Uptake of membership. | |
| 5.6 | Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate. | Performance Development Review process enables discussion about career development/progression between Research Staff and their managers. (University LDC Performance Development Review Website)  <http://www2.warwick.ac.uk/services/ldc/annualreview/>  Mentoring Scheme available to all Research Staff (University RSS Mentoring Website) <http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics/research_code_of_practice/trainingandmentoring/mentoring/> | Determine if the new Performance Development Review due to be introduced in **January 2015** encourages more research staff to participate in the scheme and to ascertain their feedback on the process.  Continue to monitor up-take of Mentoring by research staff. | HR/LDC/Research Staff Forum  LDC |  | May 2015  July 2015 | Increase in the number of staff undertaking reviews.  Number of research staff requesting mentoring. | |
| **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 | 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. | 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>  The University has a Single Equality Scheme and Equality Objectives which covers all the protected characteristics and also incorporates the University's Athena SWAN objectives. (University Equality & Diversity Website)  <http://www2.warwick.ac.uk/services/equalops/singleequalityscheme/>  In addition there is an Equality and Diversity on-line training modules available to all staff.  Equality and Diversity Staff Network (meets termly) which is open to all staff to give them an opportunity to feed issues into the formal University Equality and Diversity Committee. The Network has representatives from most departments.  Disability Coordinators recruited in all departments to act as first point of contact for staff, students and visitors with disabilities. | Continue to develop staff/student awareness of equality legislation and issues. Training both on line and face to face courses to be available throughout the year.  The Equality Objectives will be reviewed and up-dated in line with the new University and Research Strategy early in **2015.** Progress against Equality Objectives will continue to be monitored on an annual basis.  Continue to monitor departmental up-take of the Equality and Diversity on-line training and report annually to the Equality and Diversity Committee  In **October 2014** the E&D Network group changed its format and structure to improve active engagement with its members. Moving forward each meeting will focus on one or two key equality themes. The success of this change of structure will be monitored by feedback of members.  Hold regular meetings with Disability Coordinators to ensure that motivation levels and engagement remains active. | HR E&D staff  LDC  Whole University Community  Pro-Vice-Chancellor for People and Public Engagement/ Director of Strategy Programme Delivery/HR, E&D Ctte  E&D Team/HR/E&D Ctte.  E&D Network Chair/HR  E&D Adviser/ Departmental Disability Coordinators |  | To be reviewed in Spring Term 2015  May 2015  To be reviewed in Spring Term 2015  June 2015  June 2015 | Engagement with staff and students, feedback and increased number of staff taking up training opportunities.  Development of a new set of Equality Objectives.  Increased number of staff taking modules.  Feedback  Feedback | |
| 6.2 | As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds. | 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> | Monitor the diversity of the research workforce as part of the wider Workforce Profile Report and report to Research Committee. | HR/ Research Ctte |  | October 2015 | That diversity is maintained and any identified disparities actioned. | |
| 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. | 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 (University HR Equality & Diversity Website) <http://www2.warwick.ac.uk/services/equalops/eo_data/>  The University initiated the Returning Parents Network Group in 2012. (University HR Equality & Diversity Website)  http://www2.warwick.ac.uk/services/equalops/news/parents/  Participation in the Athena SWAN Charter (University HR Athena SWANN Website) <http://www2.warwick.ac.uk/services/equalops/athena/>.  All of Warwick’s 9 STEMM departments have now achieved Athena status, with 3 departments holding Silver awards and the other 6, Bronze awards.  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. (University HR Equality & Diversity website)  <http://www2.warwick.ac.uk/services/equalops/news/>  Other groups are:  Lesbian, Gay, Bisexual & Trans (LGBT)  Black, Minority, Ethnic (BME)  Disabled Staff Group  Working Parents Network Group | Publication of Annual Workforce Profile and identification of any trends or concerns in the data.  Continue to work in collaboration with the Returning Parents Network Group to ensure issues that particular cohort of staff encounter are dealt with. Continue to seek feedback from returning parents on policies and processes which affect them as parents.  Engage with all STEMM departments to maintain momentum with tasks outlined in their Actions plans which were submitted with their application for Athena status, to ensure that departments move within an appropriate timeframe towards the next level of Athena award.  Give encouragement and support to other Faculties who wish to work towards the Gender Equality Charter Mark due to be launched in **April 2015**.  Ensure STEMM department share best practice with non-STEMM departments who are keen to replicate Athena initiatives.  Ensure that staff network groups are advertised and the necessary support given to the groups. | HR  HR/Returning Parents Network Group  HR/Athena Steering and Network Groups/STEMM  Departments  HR/Athena Steering and Network Groups/STEMM and non-STEMM depts.  HR/STEMM and non-STEMM depts.  HR/Staff Network Groups/wider University Community |  | October 2015  Review in July 2015  Monthly  To be reviewed in April 2015  To be reviewed in April 2015  To be reviewed in July 2015 | That diversity is maintained and any identified disparities actioned.  Feedback and membership of the group.  Departments progressing their Athena work to the next level of award.  To have at least 2 Warwick departments ready to submit in the first round of the Charter Mark.  Feedback and sharing of best practice.  Increased and/or maintained membership levels. | |
| 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. | 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/>  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 (University Nursery Website)  <http://www2.warwick.ac.uk/services/nursery/>  The University has a conference care fund available to support individuals with caring responsibilities fund cover whilst they attend conferences. (University Equality & Diversity Athena Conference Care Website)  <http://www2.warwick.ac.uk/services/equalops/athena/warwickconferencesupportawards/> | Continue work on gender initiatives to identify and share good practice to help retain researchers, who may have caring responsibilities, in the workplace.  Ensure that researchers are aware of flexible working options available to them.  Continue to provide high quality child care provision through the University Nursery and related Holiday Schemes.  Broaden the scope of the conference care fund, by promoting it to all Faculties (previously only related to STEMM) by securing further funding from other Faculties, so that more researchers can take advantage of the Scheme. | HR/Athena Steering Group/Departments  HR/Line Managers  Nursery / Academic Office  Athena Conference Support Group |  | To be reviewed in July 2015  To be reviewed in July 2015  To be reviewed in October 2015  To be reviewed in July 2015 | Feedback and departments submitting/ achieving Athena/GEM awards.  Number of staff requesting flexible working arrangements.  Ofsted reports and feedback and numbers attending holiday schemes.  Increasing the budget so that more researchers can take advantage of the scheme. | |
| 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. | 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) <http://www2.warwick.ac.uk/services/humanresources/newpolicies/fwg> | Continue to work with the Working Parents Network Group to ensure that parents are aware of the types of flexible working available.  Work with individual members of staff to try to identify working patterns to suit their caring responsibilities.  HR to organise briefing events on Types of Flexible Working, so that all staff are kept informed of options available to them. | HR/Working Parents Group  HR/Line Managers  HR |  | To review in July 2015  To review in July 2015  To review in July 2015 | Feedback  Feedback  Number of events and attendees plus feedback. | |
| 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. | The University will continue to work with funders to ensure that funding mechanisms support good equality and diversity practice. | To seek clarification from funding bodies on their policies as appropriate. | HR |  | October 2015 | Knowledge of and publication of funding opportunities plus  feedback. | |
| 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. (University Equality & Diversity Website)  <http://www2.warwick.ac.uk/services/equalops/eo_data/>  In **November 2013** the University launched a pilot of a programme (SPRINT), specifically designed to support the professional development of female undergraduates. This was considered very successful and will continue to be run in future years. In **2014** the programme is co-sponsored by EY, Microsoft and The Royal Bank of Scotland. | As referred in **Section 1.4** above, as part of the Recruitment and Selection Review, interview panel Chairs will undertake E&D training, which will then be rolled out to all staff involved in recruitment.  To continuously review Warwick’s Leadership Programmes to ensure they are fit for purpose and include sections on Equality and Diversity.  Monitor attendance and feedback of Warwick’s Leadership Programmes and other Leadership Programmes. Undertake a curriculum review  The Workforce Profile will continue to be analysed on an annual basis to ensure that the work force remains diverse and benchmarked against the sector and the wider local community.  The SPRINT course is usually run in Week 6 of Term 1 and coincides with reading week for Arts and Social Science Faculties. However this timing is problematic for Science students who do not have reading week. The University will investigate alternative dates/formats for the course to be run, so that it becomes truly inclusive for all Faculties. | HR/LDC  LDC/E&D Adviser  LDC  E&D Adviser/HR  Student Careers & Skills team |  | Review at the end of Summer Term 2015  Review at end of Summer Term 2015  Review end of Summer Term 2015  October 2015  Review in Spring Term 2015 | All panel chairs having taken E&D training.  Numbers of staff taking Leadership Programmes plus feedback.  Attendance numbers plus feedback.  Maintain a diverse workforce.  Feedback from attendees. | |
| 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 undertake to ensure that all of its policies and procedures are reviewed in relation to gender, disability, race, age and any other protected characteristic to ensure that no group is disadvantaged. | Policy Owners/HR |  | Spring Term 2015 | Fair and transparent policies. | |
| 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. | A revised Dignity at Warwick Policy for staff and students was re-launched in **November 2014.** This policy was clearly communicated on **7th November 2014** at a ‘Dignity at Warwick’ event which was visible at key locations across campus and communicated to staff by posters, email and the Intranet. The policy is clearly communicated (Dignity at Warwick Website)  <http://www2.warwick.ac.uk/services/equalops/dignityatwarwick/>  The number of Dignity Contacts was increased from 7 to 23 contacts over the summer of **2014** and training was given to all the contacts. Reporting paperwork and formats were also improved in consultation with Dignity Contacts.  Cases of Bullying and Harassment are monitored and recorded. | As a result of the ‘Dignity at Warwick’ event, students have requested that a similar information stand as that held in the event be included in ‘Freshers Week’, so that students are informed of the policy and procedures from day one.  Meetings be held with Dignity Contacts to engage, inform and support them in these voluntary roles. Every encouragement is given to members of staff seeking support from a Dignity Contact to try to resolve the issue informally.  Review training needs of contacts and refresh annually.  Cases supported by a Dignity Contact will be monitored with a view to how many are dealt with informally and how many go to a formal hearing. | E&D Team/HR/ Academic Office/  Students Union  E&D Team/Dignity Contacts  E&D Team/Dignity Contacts  E&D Team |  | October 2015  Termly  Review in September 2015  To be reviewed in June 2015 | Dignity at Warwick Policy being publicised at Freshers events.  Feedback  Feedback  Number of cases supported and resolved by Dignity Contacts. | |
| 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. | An active member of the Athena SWAN Charter (University HR Athena Swan Website) <http://www2.warwick.ac.uk/services/equalops/athena/>  The University achieved the Athena Silver Institutional Award in **2013**, making Warwick one of only four institutions at that time with a Silver Institutional Award.  Warwick Medical School became the first UK Medical School to get an Athena Bronze Award, which quickly progressed to a Silver Award in **2013**.  Athena Silver Departmental Awards have been achieved by: Department of Chemistry, Department of Physics and Warwick Medical School  All of the other STEMM departments have achieved Athena Bronze Awards, making Warwick one of three institutions where all of its STEMM departments have achieved Athena status. Our Bronze departments are:  Psychology, Engineering, Mathematics, Life Sciences, Statistics , Computer Science and WMG  The Department of Physics was the first Department (with Imperial College London) to be awarded the Institute of Physics JUNO Champion Award. This award was renewed in **January 2014**.  All Warwick submissions can be found on the University Equality & Diversity Website – Athena Pages:  <http://www2.warwick.ac.uk/services/equalops/athena/submissions/>  Warwick Business School (WBS) took part in the pilot scheme of the ECU Gender Equality Charter Mark and submited for an award in **April 2014**. WBS achieved a Bronze award in **September 2014.** | The Equality Challenge Unit (ECU) announced in **November** 2014 that they intended to consult with the sector to ascertain views on the two Charter Marks (Athena and GEM) amalgamating with effect from **April 2015.** Warwick has taken part in the consultation and awaits the final decision with regard to the amalgamation and how the final Charter Mark will look.  Meanwhile work will continue with both STEMM and non-STEMM disciplines to maintain the momentum gathered in the gender work already being undertaken and to ensure that best practice is replicated across the institution.  Support will be given to all departments who wish to participate in the Athena/GEM Charter Mark, as well as to those departments who are currently working towards achieving the actions identified in their Action Plans. | VC/PVC/Athena SWAN Champions – both at institutional and departmental levels  Heads of Departments |  | April 2015  To be reviewed in July 2015  April 2015 | That at least 2 departments submit in the first submission round of the award.  That departments are engaged and making sufficient progress against their gender action plans.  Feedback and departments progressing their gender work. | |
| **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 | 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 |  | To be reviewed end of Summer Term 2015 | Continued success of the Research Staff Forum plus feedback. | |
| 7.2 | "2. The signatories are:  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 cost of supporting implementation and review, including the benchmarking report.  d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).  e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector) | Research Staff will continue to be consulted via:  • Research Committee  • Research Staff Forum  • Pulse Survey  • Annual Reviews | The Research Committee to receive and consider bi-annual updates of the implementation of the concordat. To publish the Concordat Action plan and updates. | Research Committee  Research Staff Forum  HR for PULSE and Performance Development Review |  | October 2015 | Feedback on progress being made**.** | |
| 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. |  | No Actions Required |  |  |  |  | |
| 7.4 | The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories 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. | 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. | The University to integrate the Concordat principles and actions within the Single Equality Action Plan and Equality Objectives where appropriate. |  |  | To be reviewed May 2015 | Approval and publication of revised Equality Objectives with Concordat principles taken into account. | |
| 7.5 | Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing 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. | 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. | The University to integrate the Concordat principles and actions within the Equality Objectives where appropriate. |  |  | To be reviewed May 2015 | Approval and publication of revised Equality Objectives with Concordat principles taken into account. | |