



DE MONTFORT UNIVERSITY
Concordat to Support the Career Development of Research Staff

European Commission HR Excellence in Research Award

Gap Analysis and Action Plan

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Gap Analysis and Action Plan

1.0 Executive summary

This document presents De Montfort University's current compliance with the principles of the Concordat to Support the Career Development of Researchers and identifies actions for consolidating and improving our researcher development strategy. A gap analysis of current institutional policy and practice was undertaken between May and August 2018, informed by operational professional service staff, HR staff, Associate Deans of Research in each faculty and PVC Research, and actions to improve good practice at the University have been identified. The University demonstrates strong compliance to all areas of the Concordat, allowing us to use the development of this action plan to identify realistic goals that build on the existing excellent support currently available to our researchers. The Research Services Directorate at De Montfort University has recently undergone a significant restructure to increase support for research at the University. This action plan provides a framework to steer the development of our support to researchers within the new structure and to signpost a significant step change in the provision of an integrative approach to researcher development across the institution.

2.0 Background

De Montfort University is a TEF Gold institution committed to developing and strengthening our research profile and our researchers. The University has over 500 active research staff and this is likely to grow in line with our Research Strategy 2018-2023, which sets out the ambition that more than 60% of staff will be actively engaged in research. Research is undertaken by academics based in our four faculties: Arts, Design and Humanities (ADH), Business and Law (BAL), Health and Life Sciences (HLS) and Computing, Engineering and Media (CEM)). As such, we have a diverse and eclectic research portfolio, and an interdisciplinary community of researchers. Many of our researchers combine research with teaching and with practice, contributing to a vibrant and inclusive research environment.

The University is committed to upholding the principles of the Concordat and the ethos of supporting the career development of our researchers is promoted through the Research Strategy, which recognises the need to nurture the creativity and commitment of our research staff in order for us to deliver our research-focussed goals as an institution. The University has invested in developing our research environment and culture, recruiting over 100 research active early-career academics to the Vice-Chancellor's 2020 lectureships and more than 40 Early Career Academic Fellows, a role specifically developed to support the transition from PhD to a successful academic career. In line with the principles of the Concordat, our Research Strategy sets out how we will invest in the research excellence of our staff, providing them with time, personal development support and the resources they need to undertake excellent research and to develop their research careers.

3.0 Structure and governance

The Research Services Directorate is a newly formed professional services unit bringing together, under the directorship of the Pro Vice-Chancellor Research, all research support functions within the institution. The alignment of the Research Development Office and the Projects Finance Team under the Head of Research Services is intended to provide end-to-end support to researchers in realising their research funding and project ambitions. This ensures that our researchers have access to the most up to date information and specialist support in research bid development and that the University is able to provide detailed audit and compliance data on funded projects, whilst supporting researchers to realistically and responsibly cost and manage their research projects.

Bringing the newly constituted Doctoral College (formerly the Graduate School) into the Research Services Directorate will encourage the provision of centralised researcher support within one professional services unit. The positioning of the Research Governance Team alongside the Doctoral College under the leadership of the Head of Policy and Doctoral College, will provide the structural and environmental framework necessary to facilitate an ambitious programme of co-ordinating the researcher development offering across the institution. Delivered via the wide range of training development and delivery functions across DMU, in Organisational Development, Library and Learning Services, Doctoral College, Research Services and in Faculty, the new structure will ensure that the development programme continues to deliver excellent research training, enhanced by a cohesive approach that is informed by central co-ordination and researcher needs.

The Concordats Operations Group (COG) has been constituted in order to maintain, monitor and review compliance with the Concordat to Support the Career Development of Research Staff, the UUK Concordat for Research Integrity and the Concordat on Open Research Data. COG reports to the University Research and Innovation Committee (URIC), chaired by the Pro Vice-Chancellor Research and will ensure that stakeholders at all levels of the University structure have oversight of our compliance with these Concordats and progress against relevant action plans. It is recognised that activity under COG should inform and be informed by E&D committees such as the Athena Swan Committee and the membership of COG reflects this need. Researchers are represented in both COG and URIC via the Associate Deans of Research and Innovation from each faculty as well as representatives from the broader researcher community including Postgraduate Researchers. The Researcher Development Forum will feed into COG to ensure that grass-roots needs are captured at a corporate level. In addition, the Researcher Development Forum can act as expert stakeholders in the future development of this action plan.

4.0 Gap Analysis & Action Plan

Between April and August 2018, work to benchmark our current policies and practices against the Concordat has been co-ordinated by the Research Governance Team in the Research Services Directorate. Contributions were received from HR, Doctoral College, Library and Learning Services, Organisational Development and Associate Deans of Research and Innovation. The University participated in the 2017 Careers in Research Online Survey (CROS), recording an 18% response rate, the results of which have also been used to inform the gap analysis.

The University is compliant with the principles of the Concordat. However, the gap analysis and CROS 2017 underlines some areas where there could be greater congruence between practice and the Concordat. Remedial action has been taken to address the gap in governance and to ensure corporate responsibility for the maintenance of the HRER Award by the constitution of the Concordats Operations Group under URIC.

The review of the CROS 2017 responses has highlighted key areas that require action. There is a lack of knowledge about the relevant concordats that the University is signatory to for the benefit of research. In addition to this, a minority of researchers felt disconnected from the University research community. It is envisaged that the Researcher Development Forum, which will meet for the first time in November 2018 constituted from a cross section of researchers from a range of disciplines, career stages and representative groups, will, in part, address and remove potential barriers to the development of a strong and supportive researcher community at the University. There is a clear need to draw together the researcher development offer into a cohesive programme that maps on the Researcher Development Framework and to raise the profile of its importance amongst researchers. The Researcher Development Forum will be a key factor in developing effective communication with the researcher community around a range of University initiatives, including the Concordats, and will provide a mechanism for researchers to inform and to lead the progression of the researcher development programme at the University.

The gap analysis and action plan is presented in Table 1. Evidence of compliance with each principle of the Concordat is outlined within the table, and actions required to strengthen compliance or improve practice are outlined against the relevant principle. Where there is sufficient evidence of compliance and no additional specific actions have been identified, an action to monitor and report any changes to the Concordats Operations Group has been recorded. This is to ensure that compliance and best practice is maintained and to ensure that any institutional changes that might improve/change our working environment for researchers is captured.

The actions highlighted in the gap analysis and action plan have been extracted and are presented in Table 2 to facilitate reporting and to provide an overview of planned activity.

TABLE 1

PRINCIPLE 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.		
	Evidence	Actions
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.	<p>De Montfort University’s (DMU’s) strategic vision includes a commitment to nurture, recognise and support researchers and research leaders, and it is further committed to creating a dynamic environment and pervasive research culture that encourages academic staff to undertake ambitious, innovative and rigorous research. The recently launched Research Strategy (2018/23) commits us to providing staff with time to focus on research. Our Research and Innovation Allowance (RIA) programme is a key mechanism to provide research active academic staff with time to undertake excellent research.</p> <p>DMU believes that effective recruitment of research-active staff is central and crucial to the success of DMU and is key to ensuring the university attracts and retains the most talented researchers to drive forward the university’s challenging research agenda. DMU is committed to ensuring that the university recruits the best talent, where personal aspirations and values are aligned with the strategic objectives of the research strategy and to sustain and enhance the university’s reputation as an employer of choice - locally, nationally and abroad.</p> <p>DMU has a comprehensive Recruitment and Selection Policy that underpins the above standards. In addition to this, all recruiting managers at DMU are mandated to attend recruitment and selection training before they engage in any recruitment and selection activities on behalf of the university. This ensures an understanding that researchers are chosen primarily for their research competence and ability to advance the goals of the research strategy at DMU.</p>	
1.2 Employees should strive to attract excellence and respect diversity (see Principle 6). Recruitment	<p>DMU’s Recruitment and Selection Policy underpins these standards. The following excerpts from the policy declare these standards.</p> <p>1. Introduction and purpose</p> <p>1.1 The university believes that effective recruitment is central and crucial to the success of DMU and is key to ensuring the university attracts and retains the most talented individuals to drive</p>	

<p>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.</p>	<p>forward the university's challenging agenda.</p> <p>1.2 The purpose of the policy is to help ensure that the university recruits the best talent, where personal aspirations and values are aligned with the strategic objectives of the university, to continue to enhance the student experience, and to sustain and enhance the university's reputation as an employer of choice - locally, nationally and internationally.</p> <p>1.3 The recruitment stage is often the first contact a future employee has with the university, and DMU is committed to ensuring 'quality and distinctiveness' through all stages of the recruitment process so that all applicants, whether successful or not, have a positive applicant / candidate experience.</p> <p>1.4 Comprehensive guidance accompanies the policy. This, alongside other resources, equips and empowers all DMU recruiters and maximises compliance with the policy.</p> <p>2. Equality and diversity</p> <p>2.1 The university is committed to open and diverse recruitment with equality and diversity at the heart of all recruitment processes and decisions. The university will strive to attract candidates from a wide pool in order to find the most suitable candidate for the job, to achieve a diverse workforce, to ensure talent is not blocked from entering the university, and to support people from all backgrounds and cultures to realise their full potential.</p> <p>2.2 All university recruiters need to be aware of the principles of equality and diversity and understand how unfair bias and/or unlawful discrimination can occur both directly and indirectly in the recruitment process.</p> <p>2.3 Shortlisting, interviewing and selection will always be carried out without regard to age, disability, sex, sexual orientation, gender re-assignment, marital or civil partner status, pregnancy or maternity, race, nationality, ethnic or national origin or religion or belief. In addition to the above, the mandatory Recruitment and Selection training covers diversity, equality and unconscious bias training. All university staff must attend the training before they recruit.</p>	
<p>1.3 Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</p>	<p>DMU maintains a collective agreement regarding the use of Fixed Term Contracts for academic staff. This agreement specifically states the following:</p> <p>The basic principle applied by the University would normally be to make appointments on the basis of permanent contracts. The University recognises the responsibilities placed on it by the Fixed Term Employee (Prevention of Less Favourable Treatment) Regulations 2002, and is committed to minimising the use of fixed term contracts.</p> <p>It is accepted that, where practical, a permanent contract is preferable in the interests of both the</p>	

	<p>University and the employee. However, it is acknowledged that there are a number of circumstances where fixed term appointments would be more appropriate. In such cases there must be objective reasons for their use.</p> <p>Fixed term contracts are closely monitored and reviewed by HR and reported monthly to DMU's Joint Negotiating Committee (JNC).</p>	
<p>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.</p>	<p>The Recruitment and Selection Policy specifically requires the following:</p> <ul style="list-style-type: none"> • A selection panel will normally comprise between two and four DMU-trained recruiters, although the ideal number is three. • Wherever possible, the same panel members involved in shortlisting should be involved at the selection decision stage. Where this is not possible, substitution of panel members at selection decision stage is permissible provided that at least one of the remaining panel members has been involved at both the shortlisting and selection decision stages. • Shortlisting to be undertaken by a minimum of two people at least one of whom will be a member of the selection panel. • The university makes every effort to try and achieve panels that are representative of a diverse workforce. • Any selection panel member who has a close personal relationship (as defined by the Code of Conduct) with an applicant or a shortlisted candidate is expected to declare that conflict of interest to the Chair of the panel or to the HR team so that alternative arrangements can be made to avoid any unfairness, whether actual or perceived, in the recruitment and selection process. <p>Minimum training requirements</p> <p>Non-DMU-trained recruiters may participate in selection panels if agreed by the Chair and HR where the Chair believes the presence of the individual on the panel to be necessary or is in the interests of achieving a representative panel. In such cases the Chair must take full responsibility for ensuring the untrained panel member acts in accordance with the policy. Training resources are being made available online, to augment our formal training, in order to support agile needs in recruitment and</p>	

	<p>ensure all staff are able to operate in-line with University policies at short-notice.</p> <p>Feedback It is the university's policy that all applicants and candidates may seek constructive feedback on their application or their performance during any selection process. Further resources to support giving feedback and interpersonal skills will be made available online later in 2018.</p> <p>Shortlisting stage All unsuccessful applicants will be able to seek feedback on their application and the reason why they have not been shortlisted. This feedback will be provided by a member of the HR team based on the shortlisting paperwork completed by the panel.</p> <p>If more detailed feedback is requested, this will be provided by a member of the selection panel as nominated by the Chair of the panel, or it will be provided by the Chair.</p> <p>Selection stage All unsuccessful candidates will be able to seek feedback on their performance during the selection process. The Chair of the panel will provide feedback or may nominate another member of the selection panel to carry out this task.</p> <p>Wherever possible, panels are compiled to reflect the diversity of the workforce. However, DMU is keen to make further progress in this area. As such, this issue is addressed in DMU's Race Equality Charter Mark and Athena Swan action plans, with actions specifically agreed to improve performance in this area.</p>	
<p>1.5 The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.</p>	<p>DMU has an established job grading process and all jobs must have a job description / person specification that has been through the established process, and graded before they are advertised. DMU operates a single spine salary scale that is subject to a national collective agreement.</p> <p>DMU also has a Starting Salary Policy which states the following:</p> <p>The Recruitment and Selection Policy states that the salary offered will normally be the bottom point of the grade range unless a higher starting salary can be justified. The justification must be discussed with HR before a verbal offer is made to the preferred candidate. For posts on the single pay spine,</p>	<p>ACTION 1.5a: Roll-out of the on-line training module for panel members.</p> <p>ACTION 1.5b: Report any changes to the HR</p>

	<p>the case for a higher starting salary should be discussed with the HR Services Team Leader. For senior level appointments, the case should be discussed with the HR Services Team Manager or the Head of HR.</p> <p>In cases where a manager wishes to offer a starting salary that is more than the minimum salary payable for that pay grade, they will be required to detail the justification for the recommended salary and must be discussed with HR before an offer is made to the preferred candidate. No offer should be made (oral or written) until the higher starting salary has been approved by HR.</p> <p>Recruiting managers and chairs of panels need to be aware of inherent differences in how researchers and groups of researchers might negotiate their pay. Regardless of the negotiating skills or approach of the researcher or prospective researcher, managers should ensure that there is a clear business case for agreeing a higher starting salary that is evidence-based, fair, objective and non-discriminatory.</p> <p>Researchers are able to request a review of the job if they feel it is wrongly graded via the job evaluation process. This process provides a framework for reviewing the grading of a role and the activities of the researcher.</p>	<p>Recruitment Policy and any other policies that may affect the information provided under Principal 1 via a standing item on the Concordats Operations Group Agenda.</p>
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<p>PRINCIPLE 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation’s human resources and a key component of their overall strategy to develop and deliver world-class research.</p>		
	<p>Evidence</p>	<p>Actions</p>
<p>2.1 Employees are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a</p>	<p>DMU has a Collective Agreement Regarding the Use of Fixed Term Contracts for Academic Staff which states that: Where staff are placed on a fixed-term contract they shall be treated no less favourably than comparable staff on permanent contracts.</p>	

<p>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.</p>	<p>In particular, fixed-term staff will:</p> <ul style="list-style-type: none"> • Have equivalent terms and conditions of employment to colleagues on comparable permanent contracts including pay, absence provisions and pensions. • Be provided with a suitable working environment. • Have the same opportunity as other staff to access services to develop their career such as the Future Leaders programme, Successfully Implementing Change and Coaching Fundamentals, access to research mentoring and funding opportunities. • Be provided with information on, and the opportunity to apply for, permanent positions in the university. • Be able to access university facilities such as libraries, intranet services. • Have the right to participate in university governance and committees. • On request, be provided with a written statement within 21 days explaining any differences in their employment arrangements from those of comparable permanent employees on a 'term by term' basis. • After 4 years service be provided with confirmation that the post is now permanent, except as provided below. • On request, at any time, be provided with the objective justification for the post to be on a fixed-term basis. 	
<p>2.2 Commitment by everyone involved to improving stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and</p>	<p>DMU has a Collective Agreement Regarding the Use of Fixed Term Contracts for Academic Staff, which states: The basic principle applied by this University would normally be to make academic appointments on the basis of permanent contracts. It recognises the responsibilities placed on it by the Fixed Term Employee (Prevention of Less Favourable Treatment) Regulations 2002, and is committed to minimising the use of fixed term contracts.</p>	

<p>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.</p>		
<p>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, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded,</p>	<p>DMU has appraisal schemes ("MyAppraisal" for those below senior manager and "MAX" for senior managers) and all researchers and research managers are expected to take part. As part of MyAppraisal, performance objectives are agreed with researchers and they are monitored against these objectives throughout the year. In addition to this, MyAppraisal provides a framework for discussing career development and agreeing development actions in line with this.</p> <p>Training opportunities are also discussed as part of MyAppraisal and development plans agreed. Researchers are eligible to apply for the DMU Leader Programme which aims to enable researchers and other staff to be cognisant of and navigate key strategic aims and initiatives that affect their areas of work as in research, teaching and the student experience whilst empowering the people they lead to give of their best.</p> <p>MyAppraisal completion is closely monitored and reported to the Executive Board. End-of-year completion rates are consistently above 90%.</p> <p>All appraisers are expected to attend training on having effective conversations to enable good quality appraisals to take place.</p> <p>The Research managers' performance in this area is managed via the MyAppraisal or the appraisal scheme for senior managers ("MAX"). For Research managers who are in DMU's senior grading structure, their leadership performance is assessed as part of MAX. DMU operates a performance related pay process as part of MAX and Research Managers' leadership performance feeds into this.</p>	

<p>and how effectively this supports good research management.</p>		
<p>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.</p>	<p>DMU has a redeployment policy which is designed to remove barriers to the successful redeployment of staff who's current role has become redundant. It is the intention of De Montfort University to seek to provide, as far as possible, security of employment for all of its employees and, wherever possible, avoid making compulsory redundancies.</p> <p>Employees on fixed term contracts are closely monitored on a monthly basis and scrutinised at executive level (with the unions) at the university's JNC.</p>	
<p>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.</p>	<p>DMU has an established job grading process and all jobs must have a job description / person specification that have been through the established process, and graded before they are advertised. DMU operates a single spine salary scale that is subject to a national collective agreement.</p> <p>Staff progress through their pay scale with annual increments until they reach the top of their scale.</p> <p>In addition to this, the university has an annual scheme that allows staff to apply for accelerated progression through the pay scales, or (if they are at the top of the scale) to progress onto a "contribution point" which is a discretionary pay point above the top of the non-discretionary pay scale. There are detailed guidelines relating to the scheme, a summary of which follows:</p>	

	<p>The purpose of pay progression is to:</p> <ul style="list-style-type: none"> • support the university’s values of ‘creativity, professionalism, pride, respect and aspiration’ by rewarding contributions which demonstrate these values and contribute to the achievement of the university’s Strategic Framework. • ensure that the grade structure supports equal pay principles and is compliant with age discrimination legislation by supporting pay progression beyond service increments on the basis of demonstrable and measured contribution rather than length of service. • The process normally operates annually. In the 17/18 round, 70% of applications received from academic staff were on the basis of both teaching and research activity, or research activity alone. <p>Eligible staff The process applies to staff in grades A-G who have at least 12 months’ service in their current post, and staff in grade H/I who have at least 2 years’ service in their current post.</p>	
<p>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 state researchers are outlined in organisational HR strategies.</p>	<p>All Academic staff are invited to apply for promotion via the annual professorial and readership process. The University publishes criteria for promotion via this process against a range of academic activities, including research and scholarship, teaching & learning, knowledge transfer, knowledge exchange and impact and academic leadership, allowing researchers to progress their career at the university whatever their academic focus might be. In the 17/18 promotions round, 84% of successful applications were promoted for teaching and research activities, 64% of successful applicants were promoted on research activity alone.</p> <p>A more structured career development framework is being taken forward as part of a university wide initiative, the ‘Developing for Success’ programme on the University’s strategic portfolio of planned work. This is long-term development and has a research pillar dedicated to building a framework to support researcher development as part of broader career enhancement support provided at the University.</p>	<p>ACTION 2.6 Increase the number of academics applying for promotion or pay progression on the basis of research activity by 5%. Annually review, and report on, the promotion figures via standing item in the Concordats Operations Group Agenda.</p>

PRINCIPLE 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.

	Evidence	Actions
3.1 It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with other employment sectors.	<p>The University provides a broad range of development opportunities for researchers at all career stages. Training is provided by the Doctoral College, Research Services, Library & Learning Services and in faculties, that supports research specific skills. These are often available for PG researchers, early career researchers and mid-career/senior research colleagues. People and Organisational Development (POD) offer a suite of career development programmes encompassing a range of modules to support development in teaching and learning, technology/IT skills, personal development and leadership.. These are available to all staff, including researchers.</p> <p>Additionally, the University runs a series of ‘Aspiring Academics’ events, open to all academic staff, focusing on encouraging the career development and promotion aspirations of colleagues.</p>	
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	<p>Research Services run the Early Career Research Network and the Senior Research Network events. These are organised at lunchtimes and provide networking and development opportunities for colleagues at different career stages.</p> <p>Dedicated career support for Postgraduate Researchers (PGR) is provided by Student and Academic Support Services. The University intends to formally extended this to Early Career Researchers</p>	ACTION 3.2a: Extend career support provision to ECRs and report via COG.

<p>mobility brings great benefit to the UK economy and organisations will, therefore wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.</p>	<p>(ECR) and SAAS, the Doctoral College and the Research Governance Team are working together to implement this within the next 12-18 months.</p> <p>The Researcher Development Programme for PGR delivered by the Doctoral College is mapped on to the Vitae Researcher Development Framework (RDF). The most recent Careers in Research Online Survey (CROS) 2017, highlighted that researchers at DMU are not fully aware of the RDF. Researchers would benefit from wider promotion of the RDF and information about how training offered by DMU maps on to it.</p>	<p>ACTION 3.2b: Map existing training (including online provision and L&LS workshops) on to RDF and signpost clearly to researchers.</p>
<p>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, competences and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.</p>	<p>As outlined in 3.1 a wide range of training is delivered by POD, including teaching and learning and leadership. This is available to all staff.</p>	<p>ACTION 3.3a: Include POD general skills training in the RDF mapping exercise (3.2b)</p>

<p>3.4 All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.</p>	<p>See 3.1 for career support provision provided by SAAS.</p> <p>Research mentoring is available to all researchers on request at local level via faculties. A mentoring programme for all staff is under development by POD which will be rolled out in due course which could include research.</p> <p>The Faculty of Business and Law (BAL) are considering the development of a 'Mentoring College' for mentors, to pool resources and share experiences/development, to raise the quality of mentoring in the faculty and provide peer support.</p>	<p>ACTION 3.4: Monitor plans to develop 'Mentoring College' in BAL and report as appropriate.</p>
<p>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.</p>	<p>All researchers undertake annual appraisal. Research objectives outlined by researchers in their Research and Innovation Allowance (RIA) applications are now incorporated into the main appraisal system.</p>	<p>See ACTION 3.2b re; signposting RDF</p>

<p>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.</p>	<p>DMU provides all staff with a planned induction programme as follows:</p> <p>Induction : Get set</p> <p>'Get set' covers workplace induction at DMU. The workplace induction takes place during the first four weeks of staff joining DMU (or an existing member of staff transferring to a different area of the university), and the aim is to assist them to perform effectively in their job role and within their new work environment as quickly as possible.</p> <p>There are 3 main sections in "Get Set":</p> <p>Staff Communications – information from our internal communications team</p> <p>Workplace Induction – induction checklists and guidelines</p> <p>Welcome Event – all new staff are invited to a short event to meet the Vice Chancellor and/or members of our Executive Board</p> <p>Induction Champions</p> <p>Induction is a responsibility of the line manager, but to help the overall induction process we have a network of "Induction Champions" across each of our Faculties and Directorates.</p> <p>Induction champions are volunteers and their exact role will differ according to local circumstances but can include activities such as:</p> <ul style="list-style-type: none"> • Monitoring completion of the induction process and, where necessary, offering a helping hand to staff and line managers. • Signpost staff and managers to resources or people who can help. • Identifying good practice in induction and sharing it across the University. • Being a friendly face for new staff to talk to – it can be a bit awkward sometimes finding your way in a new organisation/team! <p>Induction Champions will usually make themselves known when new employees start.</p> <p>In addition to the above, new researchers are subject to a 12 month probationary period when their progress is monitored and regularly discussed.</p> <p>Finally, after three months of their initial employment, it is expected that staff receive their first appraisal meeting when their initial objectives are agreed, development needs are discussed and a development plan agreed</p> <p>The Research Governance Team is leading a review of researcher induction at DMU with the intention of co-ordinating our induction programme for researchers across the University and</p>	<p>ACTION 3.6a: Develop mid-term improvements to researcher induction pack working with faculties to dovetail research and local inductions.</p> <p>ACTION 3.6b: Full review of researcher induction to develop a comprehensive, integrated researcher induction programme across the institution.</p>
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	<p>improving researcher engagement. The Research Governance Team currently provides an introduction to research at DMU, including signposting to support provided by Research Services and the Doctoral College. This supplements a local induction provided by faculties aligned to the consistent messages for all staff. It is recognised that there is need to improve the researcher induction and a mid-term plan is in place to develop more comprehensive induction packs. A full review of researcher induction will begin in 18/19 in order to provide a comprehensive needs analysis and plan for implementation in 20/21. This will align to developments currently being scoped by POD for enhanced corporate induction.</p>	
<p>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.</p>	<p>The University runs training for researchers to gain a certificate in Research Supervision. Principle Investigators (PIs) are responsible for management of projects, although elements of this may be delegated to Co-Investigators (Co-Is) and other colleagues. Support is available for new PIs in the development of bids from the Research Development Team and for managing budgets from the Project Finance Team as well as local support provide by faculty based staff and Associate Deans.</p>	<p>ACTION 3.7: Formal training for managing research projects for PIs is currently under review (See DMU Research Strategy). Ensure this is on the agenda for the Researcher Development Forum to inform development of any new training.</p>
<p>3.8 Employers also should provide specific career</p>	<p>See 3.4 The Researcher Development Forum will provide the impetus and drive for researchers to</p>	<p>ACTION 3.8: Increase engagement with</p>

<p>development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.</p>	<p>influence their own development. The Forum, coupled with the constitution of new Research Institutes, should provide a greater sense of ‘researcher community’ and shared ownership research at the University. The Forum and Institutes should provide effective communication conduits and support mechanisms for sharing information about opportunities and provisions.</p>	<p>and knowledge of researcher training and support provided by 20%. Monitor via researcher surveys (CROS/PIRLS) and other methods such as DMU Staff Survey.</p>
<p>3.9 Research managers should actively encourage researchers to undertaking Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that development 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 publication or communicating with wider</p>	<p>Researchers are able to access training provision throughout the year and all staff have the opportunity to formally request development via their line managers at any point in the year.</p>	<p>See ACTION 3.2b signposting RDF</p> <p>ACTION 3.9a: Develop comprehensive information pack of researcher development across institution with mapping to RDF of researcher specific and generic courses to inform line-managers, especially those who are not research active, to enable</p>

<p>audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.</p>		<p>improved support for researchers.</p> <p>ACTION 3.9b: Develop RDF training for staff managing researchers.</p>
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<p>PRINCIPLE 4: The importance of researchers’ personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.</p>		
	<p>Evidence</p>	<p>Actions</p>
<p>4.1 Researchers should be empowered to 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</p>	<p>See 3.5</p> <p>Feedback from the RIA panel is incorporated into the appraisal to give researchers a realistic expectation of what they might achieve in the time allocation and also what actions might be taken to develop their research careers. MyAppraisal and MAX plans have research components to support research development and formally record career aspirations.</p>	

<p>researchers have access to honest and transparent advice on their prospects for success in their preferred career.</p>		
<p>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 scheme from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.</p>	<p>There are significant opportunities for researchers to access training and development. As well as programmes outlined above, the University offers a Future Research Leaders Scheme, intended to develop research leadership skills via an intensive development programme and the Research Leave Scheme, allowing concentrated time to focus on developing research projects. Both schemes, as well as numerous funding opportunities available via faculty schemes, are open to all researchers employed at the university.</p>	
<p>4.3 Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.</p>	<p>All academics are eligible to undertake a range of teaching and learning training opportunities provided via POD. Academic staff are also eligible to apply for DMU Teacher Fellowship. Workshops are offered to all staff to help them to develop their applications.</p> <p>All academic staff are also encouraged to undertake the 3 day Effective Learning and Teaching course, plus the Postgraduate Certificate in Teaching and Learning. New staff are contractually obliged to commence this PG programme within 2 years of commencing at DMU</p> <p>As part of the Developing and Recognising Our Researcher project on the University's strategic portfolio, there is work-stream dedicated to developing and promoting research-engage teaching at DMU. The objectives of the project are;</p> <ul style="list-style-type: none"> • to further enable the relationships between teaching, learning and research 	

	<ul style="list-style-type: none"> • to explicitly recognise that the integration of research and teaching can provide valuable ways of <i>both</i> enhancing the student learning experience <i>and</i> building research cultures grounded in co-creation • To embed research-engaged teaching, including pedagogic research, as crucial to our aspirations to increase our research capacity and develop our research culture 	
<p>4.4 Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.</p>	<p>Researchers are represented throughout the University Governance. As well as research specific committees, such as the Faculty and University Research and Innovation Committees, the Faculty and University Research Ethics Committees, development of projects that support research at DMU falls under the Creating and Applying Knowledge Theme Board reporting to the Strategic Portfolio Board ensuring that research and researchers maintain a significant presence in the university portfolio of works. The PVC Research is a member of Executive Board, providing researcher representation at the highest levels of the institution.</p> <p>Researchers are also included in the representation of key equality and diversity committees, such as Athena Swan and the Race Equality Charter Mark to ensure the needs of researchers at DMU are adequately considered.</p> <p>In addition, a new Researcher Development Forum has been constituted, which formally reports to the Concordats Operations Group under the University Research and Innovation Committee in order to ensure that the needs and ideas of researchers are incorporated into the development of this and other relevant action plans.</p>	
<p>4.5 Mentoring arrangements should be supported by employers as a key mechanism for career development enhancement.</p>	<p>See 3.4 re; research mentoring.</p> <p>A formal mentoring training programme is under development in POD.</p>	

PRINCIPLE 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.

	Evidence	Actions
5.1 Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	<p>Recruitment and retention of research staff is a key element of the University Research Strategy which states ‘In recruitment and retention we will</p> <ul style="list-style-type: none"> - Offer a professional infrastructure for research, as expected by funders, partners and prospective research staff and students; this will include research development/project management, research data management and research infrastructure. - Create a clear career pathway for academics, including the new grade of Associate Professor and development of VC2020 and ECAF staff with a focus on ultimate promotion to Reader and Professor. - Recruit research leaders to strengthen leadership in key areas. - Develop PhD Graduate Teaching Assistant role, to the support the transition from PhD into a sustainable academic career. - Develop enhanced communication mechanisms for celebrating and sharing success across the institution’ <p>The DMU Guidelines for Good Research Practice set out the standards and conduct expected of those engaged with research at the university.</p>	ACTION 5.1: Review and update Guidelines for Good Research Practice.
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	<p>KE and KTP support is provided to researchers by the Enterprise and Business Development Team. Researchers are encouraged to undertake knowledge exchange activities alongside their research, supported by Faculty-based Business Development Managers.</p> <p>Doctoral College delivers Intellectual Property workshops as part of their formal Researcher Development Programme delivered to PGRs.</p>	ACTION 5.2a: Capture support/training provided by Enterprise and Business Development Team in the RDF mapping exercise.

<p>well as the wider society and economy as a whole.</p>		<p>ACTION 5.2b: Build in formal communication process between Researcher Development Forum and the Enterprise and Business Development Team to ensure two-way flow of information relating to researcher development in this area.</p>
<p>5.3 Researchers should recognise their responsibility to conduct and disseminate results in an honest and ethical manner and to contribute to the wider body of knowledge.</p>	<p>The University Guidelines for Good Research Practice and the DMU Policy on Managing Open Access sets out the responsibilities and expectations for researchers. Support is also available for researchers via Faculty Research Ethics Committees, University Research Ethics Committee and via the Research Governance Manager.</p> <p>The University is developing Research Data Management software to support the responsible archiving and sharing of research data. As part this project an open data policy will be developed, as well as training in research data management specific to the new software.</p> <p>Ethics training is provided for all PGR students and accessible online for all researchers. Library and Learning Services and the Research Governance Team provide training on the University Open Access Repository DORA and there is a fully accessible LIBGUIDE to support usage.</p> <p>The University is a member of the UKRIO and a signatory of the UUK Concordat to Support</p>	<p>ACTION 5.3a: Develop Open Data policy and Research Data Management Training</p> <p>ACTION 5.3b: Develop new ethics training programme</p>

	<p>Research Integrity. The University Ethics governance and ethics training is under review to proactively anticipate expected new reporting requirements and to support researchers in ensuring the Institution is GDPR compliant. Online ethics training is available to all staff available via the Doctoral College.</p>	
<p>5.4 Researchers should be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.</p>	<p>See section 3.7</p> <p>See action 3.2b</p>	
<p>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 to 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</p>	<p>The Research Services Directorate provides professional development sessions, support and events throughout the academic year on topics relevant to or important for researchers. The Research Services programme aims to respond to researcher needs as well as internal and external drivers.</p> <p>Research Services sessions are open to all DMU academic and research staff and associated professional services staff. Research students are welcome to attend some sessions, and are specifically invited to attend those which are likely to be of particular relevance. Some events, where appropriate, may be opened up to external contacts, such as company and academic partners. This is echoed in the Doctoral Training programme, which is similarly open to non-PGR researchers and other staff, as appropriate.</p> <p>Feedback from attendees is collated verbally after the session and electronically by anonymised survey. This is shared with the presenter and with the team to inform and improve future sessions, together with feedback from the CROS responses. Professional development sessions are mapped to the RDF, although this is not currently shared with Researchers. In the CROS survey 2017 it was reported that not all researchers were aware of the training and development that was offered by Research Services.</p>	<p>See Actions 3.2b, 3.8, 3.9a, 3.9b</p> <p>ACTION 5.5a: Co-ordinate researcher development across the institution and provide a researcher development hub, appropriately owned within one operational unit. This needs to draw together</p>

<p>should encourage research staff under their supervision to attend appropriate training and career development courses and events.</p>	<p>A new DMU Intranet has been developed and sessions are advertised through Research Services pages with links from the weekly Professional Development email to all researchers. Training is made available to all researchers including booking sessions via the electronic process and accessing the My Development tile on the DMU Hub, the site for all staff to access training.</p>	<p>the training and development offer delivered by the range of units in the institution and map to RDF.</p> <p>ACTION 5.5b: To lever the co-ordination as described in 5.5a to identify gaps, to work with the Researcher Development Forum to identify needs and to work with the training and development professionals in the various delivery units across the institution to develop targeted training for researchers.</p> <p>ACTION 5.5c: Raise the profile of researcher development and</p>
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		<p>the RDF across the University, working with colleagues in line-manager positions, research mentors and faculty-facing staff to ensure that researchers are signposted to appropriate career development opportunities at every stage of their career, wherever they are in the institution.</p>
<p>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 all to such activities. Researchers are</p>	<p>The Doctoral College provides guidance to PGR in relation to the development and maintenance of PDPs. This, in conjunction with the embedding of the RDF throughout the Doctoral/Researcher Training Programme, provides a firm basis for PGR to proactively develop their research profiles and careers.</p> <p>Researchers are responsible to record their own CPD. The University supports this via the MyDevelopment tile on the DMU Hub, through which all staff are able to keep a record of training undertaken, however, not all CPD is available this way.</p>	<p>ACTION 5.6a: Map events and workshops not flagged as ‘training and development’ on the DMUHUB, such as CPD workshops in faculty and ad hoc events (e.g. impact training)</p>

<p>encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate</p>		<p>to the RDF and provide guidance to researchers on how to appropriately record this.</p>
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PRINCIPLE 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

	Evidence	Actions
<p>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.</p>	<p>DMU freedom is our equality and diversity charter, built on our strong reputation for positive action and with our conviction we can and should lead on fairness and inclusion in the higher education sector. It is a commitment to continue cultivating an environment in which staff, students and partners have freedom: freedom to be, freedom to inspire and freedom to succeed. Freedom to be...</p> <ul style="list-style-type: none"> • Ourselves in a supportive environment that allows us space to explore our personal identity • Proud of our achievements, and to have the time to learn from them • Confident that our decisions are based on a thoughtful consideration of our options. <p>DMU is the first UK university to be re-awarded the Race Equality Charter, following an extensive and thorough application process. Our proud success on achieving a renewal is based on our commitment to advance race equality throughout the university and improve the representation, progression and success of Black, Asian and Minority Ethnic (BAME) staff and students. DMU also has a pending submission for renewal of our Athena Swan award. DMU is currently in the top 10%, in the Stonewall Workplace Equality index. DMU is also part of the “Disability Confident” scheme. Governance of DMU’s equalities duties, strategies and priorities is provided by the university’s Equality and Diversity committee.</p> <p>The Developing Diversity Programme has been developed in response to the under</p>	

	<p>representation of women, BAME staff and staff with a disability in senior management and leadership positions at DMU. The content of the programme has been designed based on research and expertise in the field and consultation with staff with one or more of the protected characteristics.</p> <p>The programme spans a 12 month period, including 7 modules, action learning sets, mentoring and coaching.</p> <p>The programme will consist of two cohorts:</p> <ol style="list-style-type: none"> 1. Aspiring to manage aimed at those who are looking to step into a management position or are early in their management career 2. Me as a manager aimed at those who are established as a manager but are looking to progress into a more senior position 	
<p>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.</p>	<p>See principle 1</p>	
<p>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</p>	<p>See 6.1</p>	

<p>actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.</p>		
<p>6.4 Employers should ensure that the working condition for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.</p>	<p>The university is committed to providing equality of opportunity in employment and to developing work practices and policies that support work-life balance. We have a Flexible Working Policy which gives eligible employees an opportunity to request a change to their working pattern in accordance with the statutory right to request flexible working (a ‘statutory request’).</p> <p>The policy applies to all employees and incorporates a number of possible changes to working arrangements, such as:</p> <ul style="list-style-type: none"> reduction or variation of working hours; reduction or variation of the days worked; and/or working from a different location (for example, from home). 	
<p>6.5 It is important for employers</p>	<p>The university’s flexible working policy covers this area. It specifically states:</p>	

<p>to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.</p>	<p>Managers should consider the request carefully looking at the benefits of the requested changes for the employee and the business and weighing these against any adverse impact of the changes. Ensure you take into account the guidance on Handling requests to work flexibly in a fair way and, in particular, avoiding unlawful discrimination. HR advisers can advise and assist managers in dealing with requests appropriately.</p>	
<p>6.6 Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.</p>	<p>N/A</p>	
<p>6.7 Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is</p>	<p>The university produces an annual equalities report which is considered by the University's Equality and Diversity Committee, Board of Governors and Executive Board. The report contains extensive data on workforce make up, recruitment, staff turnover etc. Actions are agreed as a result of the report in order for the university to continue progressing with our conviction that we can and should lead on fairness and inclusion in the higher education sector.</p>	

<p>'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.</p>		
<p>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 whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.</p>	<p>6.1 and 6.4</p>	
<p>6.9 All managers of research should ensure that measures exist at every</p>	<p>DMU has a code of conduct that specifically states the university will not tolerate bullying or harassment of any kind or for any reason (this includes unlawful discrimination and victimisation). In particular, those working or dealing with the university should not be treated unfavourably or be subjected to bullying or harassment because of race, colour, ethnic or national origin, sex or</p>	

<p>institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.</p>	<p>sexual orientation (for example gay, lesbian, bisexual or heterosexual), marital or civil partnership status, religion or belief (or no religion or belief), gender identity or status (transgender), age, trade union membership, disability, offending background or any other protected characteristic.</p> <p>All complaints of bullying and harassment will be investigated and, if substantiated, appropriate disciplinary action will be taken. The university will also not tolerate the victimisation of a person who makes a complaint of bullying or harassment in good faith or supports a person to make such a complaint.</p> <p>In addition to this, DMU has a Dignity at Work Policy which states: De Montfort University is committed to providing a working and learning environment that enriches lives, supports individuals to reach their full potential, and where everyone is treated with dignity and respect. As an educator and shaper of society, the university aims to role model positive behaviours both within the university and to the wider community.</p> <p>The university will not tolerate bullying or harassment of any kind or for any reason (this includes unlawful discrimination and victimisation). In particular, those working or dealing with the university should not be treated unfavourably or be subjected to bullying or harassment because of race, colour, ethnic or national origin, sex or sexual orientation (for example gay, lesbian, bisexual or heterosexual), marital or civil partnership status, religion or belief (or no religion or belief), gender identity or status (transgender), age, trade union membership, disability, offending background or any other protected characteristic.</p> <p>All complaints of bullying and harassment will be investigated and, if substantiated, appropriate disciplinary action will be taken. The university will also not tolerate the victimisation of a person who makes a complaint of bullying or harassment in good faith or supports a person to make such a complaint.</p> <p>The University is committed to a thriving, diverse and supported working environment and this is reflected in our research profile, including the Mary Seacole Research Centre Promoting Equality and Diversity in Health and Social Care, Mental Health, Disability and Sexual Health Research and the Centre for LGBTQ Research that conducts internationally recognised and pioneering research in LGBT issues.</p>	
<p>6.10 Employers should also</p>	<p>The University is currently working towards the re-submission of the Athena Swan Bronze Award. See 6.1 for other initiatives the University supports to promote diversity.</p>	

<p>consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.</p>	<p>The University Research Strategy states ‘ Motivated, high-achieving staff members are essential to research excellence. DMU’s aspiration to be a more research intensive university will entail having a more diverse and more highly-qualifies research community and maintaining our ethos of social and ethical values’.</p>	
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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.

	Evidence	Actions
<p>7.1 The implementation of the Concordat’s principles will lead to greater integration of researchers into 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.</p>	<p>Governance of the HRER Award is under the aegis of the Concordats Operations Group, responsible for the University’s compliance with the Concordat to Support the Career Development of Research Staff (via the regular monitoring and reporting against the actions identified in this plan), the UUK Concordat for Research Integrity and the Concordat on Open Research Data. Monitoring compliance and being able to identify trends in behaviours and issues via one committee will enable the University to develop an agile approach to training and development to meet identified needs.</p> <p>The Researcher Development Forum also feeds in to the Concordats Operations Group and will provide a mechanism for researchers to share ideas, good practice, needs and ownership of the researcher training offer at the institution.</p>	
<p>7.2 The signatories agree: a. to constitute a steering group under the independent chair to oversee the implementation and review of the Concordat with appropriate representation</p>	<p>See 7.1</p> <p>The University will continue to run CROS and PIRLS in accordance with the outcomes of the current external review by the Concordat Strategy Group.</p>	<p>ACTION 7.2a: The Research Governance Team will implement and report CROS and PIRLS in accordance with</p>

<p>of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Bass Funders' Forum of progress.</p> <p>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</p> <p>c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</p> <p>d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).</p> <p>e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of</p>		<p>published guidance</p> <p>ACTION 7.2b: The Concordats Operations Group will monitor progress against this action plan bi-annually.</p>
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<p>progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).</p>		
<p>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.</p>	<p>N/A</p>	
<p>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.</p> <p>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</p>	<p>University staff from across the institution, including faculties, Doctoral College, Research Services and Library & Learning Services are fully engaged with Vitae and regularly attend Vitae events and conferences.</p> <p>However, CROS 2017, demonstrated that there is a lack of knowledge amongst researchers about Vitae and the resources/opportunities available.</p>	<p>See Actions 3.2b, 3.6b, 3.9a, 3.9b</p> <p>ACTION 7.4: Develop information to support all stakeholders with the promotion of the use of Vitae resources to researchers more widely via researcher induction, researcher training and research mentoring. To</p>

<p>role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnership between funders.</p>		<p>ensure this is on the Researcher Development Forum agenda.</p>
<p>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 sources³ and on the sharing of good practice between institutions and to provide evidence of its impact.</p>	<p>See section 6.3 and Action 7.2a</p>	

TABLE 2

Action number	Action	Action owner	Success Measure	Time scale
1.5a	Roll-out of the on-line training module for panel members.	COG HR Rep	Training available online	Sep 2019
1.5b	Report any changes to the HR Recruitment Policy and any other policies that may affect the information provided under Principal 1 via a standing item on the Concordats Operations Group Agenda.	COG HR Rep	Policy changes logged in action plan	Nov 2019
2.6	Increase the number of academics applying for promotion or pay progression on the basis of research activity. Annually review, and report on, the promotion figures via standing item in the Concordats Operations Group Agenda.	COG HR Rep	Increase number of applications by 5%	Nov 2019
3.2a	Extend career support provision to ECRs and report via COG.	HP&DC	Provision available to ECRs	Sep 2020
3.2b	Map existing training (including online provision and L&LS workshops) on to RDF and signpost clearly to researchers	RGT/HP &DC	Provision mapped and included in researcher hub	Sep 2019
3.3	Include POD general skills training in the RDF mapping exercise (3.2b)	RGT/HP &DC	Provision mapped	Sep 2019
3.4	Monitor plans to develop 'Mentoring College' in BAL and report as appropriate.	COG	Outcomes reported at COG	Nov 2019
3.6a	Develop mid-term improvements to researcher induction pack working with faculties to dovetail research and local inductions.	RGT	New process in place for induction.	March 2019
3.6b	Full review of researcher induction to develop a comprehensive, integrated researcher induction programme across the institution.	RGT	Integrated researcher induction programme action plan agreed	Sep 2019
3.7	Formal training for managing research projects for PIs is currently under review (See DMU Research Strategy). Ensure this is on the agenda for the Researcher Development Forum to inform development of any new training.	RGT/HP &DC	New PI training developed with researcher input.	Sep 2019
3.8	Increase engagement with, and knowledge of, researcher training and support provided. Monitor via researcher surveys (CROS/PIRLS) and other methods such as DMU Staff Survey.	RGT	Reported 20% increase of positive responses in relevant questions in	Nov 2018

			CROS/PIRLS	
3.9a	Develop comprehensive information pack of researcher development across institution with mapping to RDF of researcher specific and generic courses to inform line-managers, especially those who are not research active, to enable improved support for researchers.	RGT	Pack developed and distributed to all line-managers	May 2019
3.9b	ACTION 3.9b: Develop RDF training for staff managing researchers.	RGT	Training programme developed and agreed.	Sep 2020
5.1	Review and update Guidelines for Good Research Practice.	RGM	Updated guidelines published	Sep 2019
5.2a	Capture support/training provided by Enterprise and Business Development (EBD) Team in the RDF mapping exercise.	RGT	Enterprise activity includes appropriate links to RDF	Sep 2019
5.2b	Build in formal communication process between Researcher Development Forum and the Enterprise and Business Development Team to ensure two-way flow of information relating to researcher development in this area.	RGT	EBD Team representatives included in Researcher Development Forum	Nov 2018
5.3a	Develop Open Data policy and Research Data Management Training	RGM	Policy agreed and approved and training developed	March 2019
5.3b	Develop new ethics training programme	RGM	Training developed and available	March 2019
5.5a	Co-ordinate researcher development across the institution and provide a researcher development hub, appropriately owned within one operational unit. This needs to draw together the training and development offer delivered by the range of units in the institution and map to RDF.	HP&DC	Hub developed and online with clear operating protocols	Sep 2020
5.5b	To lever the co-ordination as described in 5.5a to identify gaps, to work with the Researcher Development Forum to identify needs and to work with the training and development professionals in the various delivery units across the institution to develop targeted training for researchers.	RGT/HP &DC	Training gap analysis completed & action plan approved	Sep 2020
5.5c	To raise the profile of researcher development and the RDF across the University, working with colleagues in line-manager positions, research mentors and faculty-facing staff to ensure that researchers are signposted to appropriate career development opportunities at every stage of their career, wherever they are in the institution.	RGT/DC/HR	20% increase in reporting of knowledge on CROS/PIRLS	After next round of CROS/

				PIRLS
5.6	Map events and workshops not flagged as 'training and development' on the DMUHUB, such as CPD workshops in faculty and ad hoc events (e.g. impact training) to the RDF and provide guidance to researchers on how to appropriately record this.	RGT	Increase to 50% of number of events flagged with appropriate RDF information	Sep 2019
7.2a	The Research Governance Team will implement and report CROS and PIRLS in accordance with published guidance	RGT	20% increase in number of respondents	To update when CROS/PIRLS times released
7.2b	The Concordats Operations Group will monitor progress against this action plan bi-annually.	COG	Action plan updated	Mar/Nov 2019
7.4	Develop information to support all stakeholders with the promotion of the use of Vitae resources to researchers more widely via researcher induction, researcher training and research mentoring. To ensure this is on the Researcher Development Forum agenda.	RGT	Information developed and included in induction, etc.	May 2019

COG – Concordats Operation Group

RGT – Research Governance Team

HP&DC – Head of Policy & Doctoral College

RGM – Research Governance Manager

DC – Doctoral College