

INITIAL CONCORDAT ‘MAPPING’ BY HR AND PRIORITISATION OF ACTIONS TO ADDRESS GAPS
December 2008, updated for information from research staff obtained via CROS survey in May 2009

SUMMARY

This is a summary of the Concordat Principles with a judgement of where we think we are based on an initial mapping from an HR perspective. It has been updated with information on what staff are telling us based on the CROS survey. The subsequent pages contain the detailed mapping, as shared with Faculty Heads of Research in December 2008, together with a ‘long list’ of potential actions.

Principles	Where we think we are from an HR perspective December 2008	Snapshot of what staff tell us via the CROS survey May 2009	Summary of High Priority Actions from this initial mapping	July 2009 – July 2011
1: “Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research”	Well on the way to meeting	Positive feedback on equality questions. No implications for urgent action.	Refresher training to be given to all recruiters due to new Equality Act	Autumn 2010 – Spring 2011
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.”	Partially met	Staff are aware of ADR and training but participation is low.	Increase participation in centrally provided training Increase participation in ADR Analyse Promotions data	Ongoing until parity reached with other staff groups Jan 2011
3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment. 4: The importance of researchers’ personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.	Partially met + ‘don’t know’ until we get staff feedback	Staff are not encouraged to engage in personal & career development	As above, the priority actions, having undertaken the CROS survey are to: increase participation in ADR and training e.g. by increasing the range and relevance of central training Faculties to map and prepare their Action Plans, to include plans to make mentoring available for all research staff	Ongoing, as above, plus Research Development Office being set up Sept 09 By July 2011
5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.	n/a Individual responsibility		n/a	
6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.	Partially met + ‘don’t know’	Staff agree DMU is committed & staff are treated fairly	No significant issues. Actions e.g. Athena Swan are in DMU Equality Action Plans	Check stats in next survey May 2011
7: The sector and all stakeholders will undertake regular and collective reviews of their progress in strengthening the attractiveness and sustainability of research careers in the UK.	n/a		n/a (Participate in sector surveys & continue internal mechanisms)	

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RECRUITMENT AND SELECTION Principle 1: "Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research"	Initial self-assessment Well on the way to meeting
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Concordat Indicators (x-ref) relevant to employer/ individual

- "Attract excellence" and "respect diversity" (1.2)
- R&S procedures should be "informative, transparent and open to all qualified applicants regardless of background" (1.2)
- "Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role" (1.2)
- "posts only advertised as fixed-term post where there is a recorded and justifiable reason" (1.3)
- "recruitment and progression panels should reflect diversity" (1.4)
- "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" (1.5)

HR information/evidence of meeting the requirements

- HR recruitment procedures are transparent with helpful guidance to applicants published on the web site
- Person specifications include Essential & Desirable criteria
- Mandatory Recruitment & Selection training for all panel members, includes Equal Opportunities & the importance of Essential & Desirable criteria
- Fixed term contracts have a recorded reason
- All research staff jobs are part of the same pay & grading arrangements as for other staff i.e. matched to evaluated role profiles
- There is an open and publicised (via email) timetable for applications for promotion/ increments
- Progression panel members receive diversity briefings before considering applications

Note: although policies are very good, we have no information from staff on what they actually experience in practice.

Long list of potential HR Actions	Staff feedback from CROS survey	Priority and responsibility	Timescale
<ul style="list-style-type: none"> • Gather data on whether applicants for research posts match the diversity mix of relevant population (new PSE module timescale?) • Gather data on the diversity mix of research groups compared against comparable faculty? • Gather data on the composition of recent 	Positive feedback on equality questions. No implications for urgent action on recruitment.	LOW: data will be easier to obtain after the proposed new on-line recruitment module has been launched Autumn/Winter 2010 and been operating for 6-12m. Analysis of applicants and tracking progress through each stage is part of the wider Equality & Diversity agenda	Re-consider Autumn 2011 in light of progress with E&D data.

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recruitment panels?			
<ul style="list-style-type: none"> Identify which senior research staff have had R&S training (and when) 	As above, positive responses and no pressing issues raised by staff	HIGH: due to new Equality legislation there will be a need to do Refresher training anyway for all interviewers WHO: Head of HR Training & Development + HR Services Team Manager	AUTUMN 2010 – SPRING 2011

RECOGNITION AND VALUE Principle 2: “Researchers are recognised and valued by their employing organisation as an essential part of their organisation’s human resources and a key component of their overall strategy to develop and deliver world-class research.”	Initial self-assessment Partially met
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Concordat Indicators (2.1 – 2.3) relevant to Departments & role of research managers

- “equal treatment to all researchers, regardless of whether they are employed on a fixed term”, “ensure that the development of researchers is not undermined by the instability of employment contracts. This approach should be embedded throughout all departmental structures and systems” (2.1)
- Implement ‘fixed term employees’ regulations (2.2)
- “Research managers should be required to participate in active performance management, including carer development guidance, and supervision of those who work in their teams” (2.3)
- “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. “ (2.3)
- “Institutions will wish to consider how research managers’ performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management” (2.3)

HR information/evidence of meeting the requirements

- (2.2) updated agreement on use of fixed term contracts in progress (as at Dec08)
- (2.3) updated Achievement & Development Review process includes research staff; major programme across DMU to train all reviewers and reviewees
- (2.3) The academic ADR process uses role profiles that include responsibilities for developing people e.g. through coaching

Note: No information is available for this initial mapping from research staff themselves on the extent to which they feel valued.

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Concordat Indicators (2.4 – 2.6) on Funding, pay and progression

- “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” (2.4)
- Pay progression (2.5)
- “Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities are transparent, effectively communicated and open to all staff.” (2.6)
- It is helpful if clear career frameworks for early stage researchers are outlined in organisational strategies.” (2.6)

HR information/evidence of meeting the requirements

- (2.4) Research staff numbers and resources do not allow for bridging funding but staff are given the opportunity to go on the ‘At Risk’ register as their contract comes to an end
- (2.5) Pay progression is transparent and in line with union agreements (in accordance with concordat)
- (2.5) Research staff have automatic promotion from L to SL role profile/ pay scale in the same way as teaching staff
- (2.6) process for increments / promotion to PL is open to researchers and communicated by email; there is a research staff progression framework published on the HR Intranet along with copies of the generic Role Profiles for all research and teaching roles

Long list of potential HR Actions	Staff feedback from CROS survey	Priority and responsibility	Timescale
<ul style="list-style-type: none"> • Central data suggests research staff participate less in centrally-organised training. ACTION Find out from staff what training they are getting as what is provided locally may not get recorded. 	<p>Nearly 80% overall have often or sometimes participated in <i>something</i> internal in the last 12m.</p> <p>Number of days spent on all types of CPD (including personal reflection)</p> <ul style="list-style-type: none"> • 20 have had 0 -2 days • 36 have had 3-10 days • 23 have had over 10 days 	<p>HIGH: Increase the participation of research staff in centrally provided training; increase the range of research skills training as a result of the creation of the Research Development Office (RDO)</p> <p>WHO: RDO, Head of HR Training & Development</p> <p>There is a ‘hard core’ of staff with very low participation. However, there is also an extensive range of activities locally that some staff are accessing. This information will be gathered when the Faculties undertake their Concordat mapping and Action Plans..</p>	<p>IMMEDIATE & ONGOING UNTIL PARITY ACHIEVED</p> <p>BY JULY 2011</p>
<ul style="list-style-type: none"> • Participation in ADR by research staff is lower than for teaching staff (currently 46% versus 75% for teaching staff per DMU records). Recommended ACTION 	<ul style="list-style-type: none"> • Good awareness of the ADR process (over 80%, a bit ahead of the sector), BUT • Only 40% fixed term staff 	<p>HIGH: Increase the participation of research staff in the ADR process; undertake extra briefings; monitor and report on the percentages by Faculty</p>	<p>IMMEDIATE & ONGOING UNTIL PARITY</p>

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	participation (although total staff rate is ahead of sector)	WHO: HR Advisers, Head of HR Training & Development, Deans and Department Heads	ACHIEVED
<ul style="list-style-type: none"> Do staff feel valued? 	<ul style="list-style-type: none"> Nearly 80% agree they are valued for their contribution to their department's research culture (well ahead of the sector) 	No immediate actions required in relation to individuals being valued for their contribution. There was evidence that staff do not yet feel part of a broader DMU research culture. This has already been recognised e.g. with the creation of the RDO so no other specific actions.	KEY STATISTIC TO COMPARE IN FUTURE SURVEYS (June 2011, June 2013)
<ul style="list-style-type: none"> Across DMU, can 'good' managers be given greater recognition? 	N/A	LOW-MEDIUM: Recognition schemes feature in the HR Strategy but not as an urgent priority. WHO: HR Executive Team	LONGER TERM as part of overall HR Plans
<ul style="list-style-type: none"> (2.4) What other options are there? (2.6) Obtain data on the extent to which research staff actually apply for promotion to PL or for accelerated increments 	<p>Staff are either OK that they have parity or else state that they don't know what terms other groups have.</p> <ul style="list-style-type: none"> Good awareness of Promotions process (<i>& a bit ahead of the sector</i>) and of Concordat & Career Pathways 	<p>LOW: with a relatively small number of research staff there are no other sources of bridging funds</p> <p>HIGH: Although no specific concerns about parity, we currently have no information ourselves or from staff; data can be obtained on the promotions process fairly easily as it is already done for teaching staff</p> <p>WHO: HR Adviser/ Head of HR Training & Development/ Promotions Exercise administrator</p>	<p>N/A</p> <p>NEXT ROUND, Winter 10/11</p>

SUPPORT AND CAREER DEVELOPMENT

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

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

Initial self-assessment

Partially met + 'don't know' until we get staff feedback

Concordat Indicators (x-ref) relevant to employer/ individual

- Offer professional, independent careers advice – or training & placements to broaden awareness of other sectors (3.4)
- Ensure research staff are aware of policies for promotion etc & development strategies (3.5)
- Induction (3.6)
- Research manager encourages CPD (3.6)

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- Employers to articulate the skills to be developed at each stage of the framework & the opportunity to practise/ develop e.g. manage part of a budget, mentor others (3.7)
- As part of a specific career development strategy, provide mentors (3.8)
- "Research managers should actively encourage researchers to undertake CPD" – NB Funders expect this to happen within the project (3.9)
- Appraisal processes to cover research staff – honest, transparent advice (3.10)
- Include preparation for academic practice (& recognise CPD schemes from other institutions to enable mobility) (3.11)
- Provide training in teaching (& give opps to use it?)
- Researchers can benefit from having representation on staff meetings & organisation/ management committees (3.13)
- Provide mentoring (3.14)

HR information/evidence of meeting the requirements

- Employability Skills Units developed in collaboration with 2 local universities (*but, didn't run in 2008 due to low nos & staff changes at DMU and Leic Uni*)
- Some good on-line materials for career development (Epigeum), although not all research staff use Blackboard
- Roberts staff money used to 'buy-out' Careers Service time
- (3.6) Research staff receive Induction CD & are invited to face-to-face (& now most do attend)
- Researchers have access to the same information, intranet & emails about staff development as others
- (3.10) ADR in place [although still patchy]
- (3.11, 3.12) APDU – 'beginning to teach in HE' is available to research staff and potentially the PG Cert (depending on teaching hours and waiting lists)

Key HR Query and recommended action	Action: Take part in CROS survey June 2009	Staff feedback from CROS survey
Ideas/ Queries <ul style="list-style-type: none"> • (3.6) are researchers getting the same development opps? Per the Faculty Heads of Research (FHOR), it may be patchy & depends on extent to which they are integrated into the faculty • The key priority is to gain institutional commitment to run the CROS survey in order to get information from staff 	<p>HIGH: This is an area where HR and even the Faculty Heads of Research have a limited knowledge of what staff really think. This is a priority to ask staff for their experiences at a local level.</p> <p>WHO: Project Lead is Head of HR Training and Development in conjunction with Faculty Heads of Research, and active support from PVC Research</p> <p>Project timescales as presented to Research Committee in March 2009:</p> <ul style="list-style-type: none"> • Invitation letter and hard copy of concordat, to be posted by 22nd April 2009 • 1st May, send invitation email (from PVC) 	<p>Need to improve participation in ADR as a priority because.</p> <ul style="list-style-type: none"> • 50% of DMU fixed term respondents are not encouraged to engage in personal & career development • 50% of DMU fixed term respondents have no career development plan • 20% of DMU fixed term respondents have not discussed career/personal development with their PI or manager in the last 12 months (similar to sector but not good enough) <p>Need to increase participation in internal</p>

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	<ul style="list-style-type: none"> • 15th May, report progress to FHOR meeting • 9th June, present interim results to Research Committee • 30th June 'Event' to share results • Publish information on Intranet 	<p>courses because (in the last 12m)</p> <ul style="list-style-type: none"> • Although nearly 80% staff overall have often or sometimes participated. • 30% of fixed term staff have not attended an internal DMU course? (<i>Better than the sector overall</i>) <p>Staff like all forms of training, including on-line, but prefer face-to-face so the delivery method is not a barrier. The main need is about encouragement and increasing the range and quantity of what is available e.g. extra research-specific training, Careers coaching, re-launch the join workshops with Leicester etc</p>
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Long list of queries & other potential HR Actions	Staff feedback from CROS survey	Priority and responsibility	Timescale
<ul style="list-style-type: none"> • What are easiest methods of reaching target groups easily (via FHoR? Other faculty lists?) • (3.7) & (3.8) What good practice is happening in the faculties/ research institutes that could be shared? (FHOR?) • (3.13) What representation already or could happen? (FHOR?) • (3.14) What good mentoring practice already happening? (FHoR?) 	<p>70% of DMU respondents (better than the sector) agree their contribution below is valued:</p> <ul style="list-style-type: none"> • Achieving DMU's research strategy & World class research <p>This is not the most urgent area to drive centrally as there is a lot of local activity happening already e.g. mentoring.</p> <p>Staff feel valued for:</p> <ul style="list-style-type: none"> • their informal mentoring roles (Better than sector at nearly 60%) 	<p>The data from CROS is not easy to analyse by Faculty and research group. Also, it could lead to individuals being identified due to the small numbers in some areas. So, this area is best addressed by local mapping activities and Action Plans put together by FHOR.</p> <p>MEDIUM: focus initially on higher priority Actions (e.g. ADR participation and participation in central training) and then drive to ensure all research staff have access to mentoring</p>	<p>WINTER 2010 – SUMMER 2011</p>

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DIVERSITY AND EQUALITY Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.	Initial self-assessment Partially met + ‘don’t know’ until we get staff feedback
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Concordat Indicators (x-ref) relevant to Employers

- “Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements” Career breaks, parental leave, part-time working, atypical careers and work-life balance are all mentioned as things that can disrupt careers/ prolong the ‘early career’ stage. (6.4)
- “It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently” (6.5)
- Ensure representative balance at all staff levels – equal opportunities policies & practices, monitoring etc (6.6)
- Take account of the personal needs of specific groups e.g. those with child/elder care responsibilities, those whose first language is not English, older/ younger workers, those with disabilities or long-term health issues. “Employers and funders should change policies or practices that directly or indirectly disadvantage such groups” (6.8)
- Consider SWAN charter, Juno project etc “and other initiatives aimed at promoting diversity in research careers” (6.10)

HR information/evidence of meeting the requirements

- DMU has good policies in place covering all these aspects – but we need information from staff about their actual experience locally
- There is an example of good practice within Humanities to enable staff to access short-leave and sabbaticals
- Athena SWAN is in the E&D action plan
- We have a Bullying & Harassment Policy and people that can provide support

Concordat Indicators (x-ref) relevant to Managers

- “All managers of research should ensure that measures exist .. through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties” (6.9)

Long list of potential HR Actions	Staff feedback from CROS survey	Priority and responsibility	Timescale
HR – we have not looked in detail at data for researchers; some information will only be known locally e.g. <ul style="list-style-type: none"> • How accessible are these policies e.g. 	<ul style="list-style-type: none"> • Over 90% agreed DMU is committed to equality & diversity • About 85% agree (<i>a bit ahead of the sector</i>) that All 	As there were no significant issues, there are no additional actions for the Concordat at this time.	COMPARE NEXT SURVEY JUNE 2011

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<p>paternity leave and flexible working options, in reality? Find out from staff</p> <ul style="list-style-type: none"> • Are staff OK with accessing flexible working and work/life balance etc? What happens when research staff go on maternity leave – any good practice/ advice from faculties? (FHoR) • If any issues, consider getting data from staff surveys, OH&S and usage of B&H policy 	<p>staff are treated fairly with regard to promotion/ progression</p> <ul style="list-style-type: none"> • Nearly 80% are satisfied with their Work-Life balance (<i>a bit ahead of the sector</i>). • Over 75% say there are no equality issues over access to training (on a par with sector) 	<p>Athena Swan and other diversity actions are contained in DMU's E&D Action Plans which are published annually and led by the DMU Equality and Diversity Adviser.</p>	
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