

## Concordat to support the career development of researchers

### Gap Analysis

June 2016

### Background

Wrexham Glyndŵr University has undergone a restructure over the past eighteen months and this has included two main management changes that positively impact the research environment. The first of these changes is the development of the Heads of Research Centres roles to support research development alongside the development of the research environment within each of their four University Research Centres. Second, the University has created two new roles, a Researcher Development Tutor and Graduate Development Officer. These two new posts will work closely with the Head of Research Services and the Student Programmes Centre (PGR) across the university to co-ordinate research support.

<b>A. Recruitment and Selection</b>			
<b>Concordat Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.</b>			
		<b>Evidence</b>	<b>Actions</b>
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	Vacancy Control Procedure.	No new action necessary
1.2	Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role	University policy 'Equality and Diversity Policy for Staff and Students'. Approved in 2016 due for review in 2019. students of the University. The Equality and Diversity Action Group has specific responsibility for compliance with this policy. . The Director of Human Resources also has specific responsibilities for assisting with the implementation and monitoring of equal opportunities for employees at the University.	No new action necessary.
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason	The University only use fixed term contracts when they can be objectively justified normally for appointments to work on a specific project within an identified timescale. All researchers on fixed term contracts have equal access to research training opportunities and professional development.	N/A
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	We are a small institution and recruitment and promotion panels are sought that are representative of the University staff including ensuring a gender balance. All	All unsuccessful candidates are given the opportunity to receive feedback on

	<p>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>panels have an independent representative from either a different school or if appropriate a person external to the institution.</p> <p>All panels and their conduct are governed by the 'Equality and Diversity Policy for Staff and Students'.</p>	<p>the interview process.</p> <p>The process established by the University ensures fairness and consistency.</p> <p>No new action necessary.</p>
1.5	<p>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>All pay scales are available to all staff on the intranet. All new posts are evaluated to a grade pay spine. This process is governed by the 'Vacancy Control Procedure'.</p>	N/A
<p><b>B. Recognition and Value</b>  <b>Concordat 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.</b></p>			
2.1	<p>Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and system</p>	<p>Research staff on fixed term contracts have the same opportunities as all research active staff with access to training and development.</p>	<p>This is monitored through staff appraisal.</p> <p>No new action necessary.</p>
2.2	<p>Commitment by everyone involved to improving the 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 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>All staff who are on fixed term contracts have an interview with their line manager and a member of HR prior to the end of their contract. If they wish they are placed on the redeployment register and are guaranteed an interview if they apply for a job within the institution.</p> <p>Ensuring staff on fixed term research contracts continue to develop their careers to ensure that their skills base is kept up to date to give a favourable opportunity of moving on successfully to their next job either at Glyndwr or beyond.</p>	<p>Periodic training of research contract managers in employment issues around fixed term contracts.</p>
2.3	<p>Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in</p>	<p>Training and development events are provided across the university and also within Research Centres for all staff including research managers.</p>	<p>Research managers are monitored through annual appraisal.</p>

	<p>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, and how effectively this supports good research management</p>		<p>No new action necessary.</p>
2.4	<p>Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective</p>	<p>All research staff on fixed term contracts are given the opportunity to place their name on the University Redeployment Register if they wish when they are near the end of their contract. Research Managers can make a case using the Vacancy Control Procedure to employ researchers between grants.</p>	<p>Periodic training of Research Managers to ensure they are aware of the appropriate course of action to take when a contract researcher is coming to the end of their contract.</p>
2.5	<p>Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework</p>	<p>All research staff are appointed to grades that are the same as any other member of staff. Some funders do not support increments. If this is the case the researcher is made aware of this at the time of the appointment. All staff salary scales are available on the staff intranet.</p>	<p>The researcher is informed at the time of the interview, again at appointment and it is written into the contract of employment.</p> <p>No new action necessary.</p>
2.6	<p>Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies</p>	<p>All posts are open to internal candidates. The University has a Professorial and reader application process that is advertised to all academic staff each academic year.</p>	<p>Staff responsible for appraisal of researchers need to ensure that researchers are aware of training available to them and taking full advantage of such training.</p>
<p><b>C. Support and Career Development</b>  <b>Concordat Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.</b></p>			
3.1	<p>It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all</p>	<p>The University recognises the importance of enabling research assistants to develop so they are in a strong position to apply for</p>	<p>Where appropriate staff on research contracts should be encouraged and</p>

	<p>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>	<p>permanent contracts. Ongoing training provides them with the best opportunity. The majority of full-time academic posts now have this as a requirement and it is a way of research assistants strengthening their CVs to widen their employment opportunities.</p>	<p>enabled to undertake the higher education teaching certificate PGCPD that leads to membership of the Higher Education Academy. Research managers need to consider how Research Assistants can access training to develop their own career and not necessarily just for the benefit of the project.</p> <p>No new action necessary.</p>
3.2	<p>A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally</p>	<p>External engagement with Vitae and CREST is important to ensure researchers have a wide perspective on the possibilities that are open to them.</p>	<p>To encourage researchers to engage with both organisations for training and to network.</p>
3.3	<p>Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter</p>	<p>The RDF provides an excellent framework for this process. The University is exploring ways of implementing this appropriately for different researchers.</p>	<p>An Action Plan for the implementation of this is needed. The Action Plan needs to consider how researchers can use the RDF given the University's recent investment in software that can map engagement with training/transferable skills. This encourages people to take responsibility for their own professional development and provides support for the appraisal.</p>
3.4	<p>All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond</p>	<p>Vitae events and CREST events are beneficial to researchers.</p>	<p>This is dealt with through appraisal. Researchers have access to the careers</p>

	their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors		service provided by the University.  No new action necessary.
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	Information is provided for all staff on the staff intranet.	Monitored by HR.  No new action necessary.
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	All researchers have an induction.	There is a generic induction for all new staff. Departmental induction are not consistent across the schools. It is also recognised that induction needs to include the appropriate Research Centre Head. This is an issues that has been recognised by HR and is in the process of being reviewed.
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	We are a very small institution with few Research Assistants and few externally funded projects so this is not a priority at present.	N/A
3.8	Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements	We are conducting a survey about the needs of researchers. This will provide a baseline from which we can build.	The survey will be conducted on an annual basis led by the Researcher Development Tutor.

3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices	The provision of CPD is supported by the Research Development Tutor and the Heads of Research Centres. Each Research Centre runs a seminar series that is specific to the given subject area. Mentoring of researchers occurs within the institution on an <i>ad hoc</i> basis at present. This needs to be formalised and include appropriate training.	A mentoring programme needs to be established and implemented.
<b>Concordat Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.</b>			
4.10	Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career	Appraisal system for contract researchers is embedded.	The Research and Enterprise Committee is responsible for reviewing researcher training and development programmes and reports to academic board.  No new action necessary.
4.11	Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another	All staff including researchers are encouraged to undertake the PGCPD offered to staff for free. This provides the necessary qualification for membership of the Higher Education Academy.	To ensure that when contract research staff begin their employment they are made aware of and encourage to undertake the teaching in HE qualification and apply for membership of the Higher Education Academy.  No new action necessary.
4.12	Employers will ensure that where researchers are provided with teaching and demonstrating	Research Assistants have the same opportunities to develop skills as other academic staff.	N/A

	opportunities as part of their career development, suitable training and support is provided		
4.13	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	Researchers are represented on the Research and Enterprise Committee. The advantage of being a small institution is that researchers have more opportunities to contribute to policy and practice through being invited to serve on a wide range of committees.	Periodic training for Project Managers is necessary to ensure that they are providing researchers with appropriate opportunities to input into policy and practice.
4.14	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement	Mentoring occurs on an <i>ad hoc</i> basis through the Research Centres.	A formal mentoring process needs to be put in place. A bid for some central University funds will be made to support training of mentors. This will need to be publicised widely through the Research Centres.
<b>Concordat Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.</b>			
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers	This is encouraged through the seminar programmes run through the Research Centres. Sessions on developing critical writing and skills need to be run each year. Collaboration with Stafford University increases capacity of what is available to researchers.	Continued development of University training programmes to serve the needs of the research community.
5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole	Glyndwr's mission is an emphasis on research that has practical implications for wider society. This is evidenced by the University's links with business and industry in the area. Researchers are encouraged to engage with this networks. STEWART IF APPROPRIATE COULD YOU ADD SOMETHING ABOUT INTELLECTUAL PROPERTY POLICY?	N/A
5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge	Training is provided with regard to ethical issues. Researchers are contributing to articles published in peer review journals.	Periodic training of Research Managers to ensure that researchers' contributions are appropriately recognised.
5.4	Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the	The RDF is effective at ensure that researcher reflect on these issues throughout their contract of employment. These issues are also addressed in annual appraisal.	N/A

	skills and achievements which they displayed to reach that position		
5.5	Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events	Researchers need to seek out training opportunities which are facilitated both within the University and more widely by for example CREST and Vitae.	N/A
5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate	Staff appraisal ensures this for contract researchers.	The software package recently purchased by the University needs to be implemented to benefit researchers to aid them in charting their CPD engagement. KATIE CAN YOU ADD ANYTHING MORE HERE.

#### **E. Diversity and Equality**

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

6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression	The University has an Equality and Diversity Policy for Staff and Students that is available through the VLE. The Dignity at Work Policy is supported by a network of advisors who staff can speak to confidentially. The selection of staff for the REF was governed by the Code of Practice on the fair and transparent selection of staff for submission to the 2014 Research Excellence Framework.	Monitored by HR.  No new action necessary.
6.2	As 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	The University is committed to ensuring all applicants are treated equally, without discrimination. This is clearly stated in any job advertisements and in recruitment documentation. It is supported by	Monitored by HR.  No new action necessary.

	researchers from the widest pool of available talent, including those from diverse backgrounds	the Equality and Diversity Policy for Staff and Students.	
6.3	It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.	The Family Friendly Policies and Procedures include policies on the following: adoption, maternity, paternity, parental leave, and shared parental leave.	Monitored by HR.  No new action necessary.
6.4	Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, ( <i>inc. parental leave, part-time work, or atypical routes into research</i> ), 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 & career	The policy for flexible working arrangements is fully compliant with National legislation. Researchers are actively encouraged to develop ways of working that suite their personal circumstances.	Monitor by HR.  No new action necessary.
6.5	It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently	Application for flexible working, maternity/paternity and adoption leave are in accordance with legislation and form part of the Family Friendly Policy. One of the benefits of being a small institution is that we can be responsive to needs and facilitate change swiftly.	Monitored by HR and the Guild.  No new action necessary.
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	N/A	N/A
6.7	Employers should aim for a representative balance ( <i>gender, disability, ethnicity, age</i> ) at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a	Equal opportunities monitoring is undertaken on an annual basis. Because we are a small institution if absolute numbers change it can have a significant impact on the percentages reported.	Monitored annually.  No new action necessary.

	transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below		
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	Family Friendly Policies and Procedures.	Monitor by HR.  No new action necessary.
6.9	All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties	The University has an Equality and Diversity Policy for Staff and Students that is available through the VLE. The Dignity at Work Policy is supported by a network of advisors who staff can speak to confidentially.	Ensure all researchers are made aware of these two policies at induction.
6.10	Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers	This is an area that needs to be developed in the future.	Explore what is involved in obtaining membership of Athena SWAN within the next twelve months with a view to putting in place an action plan to work towards applying for members.
<b>F. Implementation and Review</b>			
<b>Concordat 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.</b>			
7.1	The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote	N/A	N/A

	implementation through a collective commitment to reviewing its progress.		
7.2	The signatories agree ( <i>paraphrased thus</i> ): <i>a. to oversee the implementation of the Concordat with sector bodies</i> <i>b. to assess the state of the sector at the launch of this Concordat</i> <i>c. to contribute an appropriate share of the costs of implementation</i> <i>d. to draw up an implementation plan for the Concordat,</i> <i>e. to undertake and publish a major review of the implementation of the Concordat after three years</i>	N/A	N/A
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	N/A	N/A
7.4	The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders	Vitae is important to the development of researchers and PGRs at the University. We are a member of CREST. We have a Memorandum of Understanding with the University of Staffordshire and combine our resources to run a research conference each year. We also have a Memorandum of Understanding?(Check if this is correct terminology) with the University of Chester. Our students are able to access training and resources through this link.	Development of relationship with University of Chester and Staffordshire University to benefit researchers and PGRs.
7.5	Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between	The University has an Equality and Diversity Policy for Staff and Students that is available through the VLE. The Dignity at Work Policy is supported by a network of advisors who staff can speak to confidentially.	Monitored by HR.  No new action necessary.

	institutions and to provide evidence of its impact		
--	--	--	--