

‘HR Excellence in Research’ - Gap Analysis and Action Plan – Oxford Brookes University					
	Clause	Evidence for current compliance	Action plan	Lead(s)	Date by
A: RECRUITMENT AND SELECTION					
Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.					
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	The Research and Knowledge Transfer Strategy 2010 - 2015 http://www.brookes.ac.uk/about/strategy/development/docs/rkts2010-15.pdf supports the University's 2020 strategic goal of being 'committed to world-leading research which is exploited and disseminated for the benefit of our communities'. This goal articulates the expectation that all our research, whether pure, applied or pedagogic, is of the highest standard with all researchers aspiring to produce outputs which are recognised externally as world leading, and the belief that our research contributes positively, in a broad sense, to the intellectual capital of the economy and society - local, national and international – and, more narrowly, to the experience of both staff and students.	No action required until review in 2015	Chair of RKTC	2015 onwards
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	The University role profiles make researcher role requirements clear and are provided at http://www.brookes.ac.uk/services/hr/reward/academic/index.html The University's recruitment and selection policy and procedure	The University's recruitment and selection policy and procedure will	Bob Price, Director of HR	Ongoing

	<p>clearly identify the skills required for the post and these requirements should be relevant to the role.</p>	<p>http://www.brookes.ac.uk/services/hr/handbook/recruitment/policy_procedure.html reflects best practice and the University's commitment to equality and diversity.</p> <p>All members of all interview panels at the University must first attend recruitment and selection training (and training refresher courses every 3 years) which includes extensive guidance on Equality and Diversity.</p> <p>The annual equality & diversity report, provides an overview of activities to promote diversity and an indication of how equality, diversity and inclusion are embedded throughout the University. These can be viewed at http://www.brookes.ac.uk/services/hr/eod/reports/</p>	<p>continue to be reviewed and updated regularly</p> <p>We will continue to monitor compliance and ensure that all panel members receive training</p> <p>We will continue to produce an annual equality & diversity report and act on any issues that are highlighted</p>	<p>Bob Price, Director of HR</p> <p>Bob Price, Director of HR</p>	<p>Ongoing</p> <p>Ongoing</p>
1.3	<p>Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</p>	<p>When jobs are advertised, justification for why it is a fixed term post is included.</p> <p>The University's Code of Practice for the Career Management and Development of Researchers http://www.brookes.ac.uk/services/hr/handbook/recruitment/related_policies_procedures/career_mgt_contract_research_staff.html makes a commitment to seek the continuing employment of its research staff and makes funds available to support staff during intervals between grant funding (bridging funds, see also section 2.4), facilitates appropriate redeployments and encourages career development to enhance external and internal employment prospects. However, the Code has not been revised since 2004.</p>	<p>We will continue to do this</p> <p>Central research funds will continue to be used as bridging funds</p> <p>The University's Code of Practice for the Career Management and Development of Researchers will be reviewed and updated</p>	<p>Bob Price, Director of HR</p> <p>PVCR</p> <p>Susan Brooks, GS & Bob Price, Director of HR</p>	<p>Ongoing</p> <p>Ongoing</p> <p>By end of July 2012</p>

1.4	<p>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 University's recruitment and selection policy and procedure http://www.brookes.ac.uk/services/hr/handbook/recruitment/policy_procedure.html gives guidance on the composition of interview panels. It ensures fairness, consistency and the best assessment of the candidates potential.</p> <p>Interview panel members must attend a mandatory 2-day recruitment and selection training, and a one day refresher every three years.</p> <p>The Chair of the panel is responsible for giving individual feedback to all unsuccessful internal candidates, and external applicants if requested.</p>	<p>The University's recruitment and selection policy and procedure will continue to be reviewed and updated regularly</p> <p>We will continue to monitor compliance and ensure that all panel members receive training</p>	<p>Bob Price, Director of HR</p> <p>Bob Price, Director of HR</p>	<p>Ongoing</p> <p>Ongoing</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>The HE Role Analysis methodology (http://www.brookes.ac.uk/services/hr/reward/job_evaluation.html) is used to determine the grading of a post linked to the single pay spine for academic and HE support staff. This provides a transparent and consistent approach to pay and grading according to the requirements of the post.</p> <p>The University role profiles make researcher role requirements clear and can be found at http://www.brookes.ac.uk/services/hr/reward/academic/index.html</p>	<p>No action required</p>		

B: 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.					
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems	The University’s Code of Practice for the Career Management and Development of Researchers http://www.brookes.ac.uk/services/hr/handbook/recruitment/related_policies_procedures/career_mgt_contract_research_staff.htm ensures that research staff on fixed term contracts are not treated less favourably than other staff. It makes a commitment to seek the continuing employment of its research staff and makes bridging funds available to research staff during intervals between grant funding (see also section 2.4). However, the Code has not been revised since 2004.	The University’s Code of Practice for the Career Management and Development of Researchers will be reviewed and updated Central research funds will continue to be used as bridging funds	Susan Brooks, GS & Bob Price, Director of HR PVCR	By end of July 2012 Ongoing
2.2	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	Research staff employed on fixed-term contracts are covered by the statutory regulations for fixed-term work which require that fixed term employees should not be less favourably treated than similar permanent employees in their terms and conditions of employment (unless there is an objective reason to justify the less favourable treatment). The University is also guided by the JNCHES guidance on the use of fixed-term contracts – see http://www.ucu.org.uk/media/pdf/6/d/jnches_fixedterm_guidance_1.pdf As detailed above, sections 1.3 and 2.1, the University has made a commitment to seek the continuing employment of its research staff and makes bridging funds available, facilitates appropriate redeployment and encourages career development to enhance external and internal employment prospects.	See sections 1.3 and 2.1		

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 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>In the new University structures, a Research Lead is identified in every department and whose role includes overseeing the managers of research teams and ensuring that they meet their responsibilities to researchers in their teams.</p> <p>The Oxford Centre for Staff & Learning Development (OCSLD) in conjunction with the HR Business Partnership teams provide a suite of courses and support for all its managers and leaders. Details at http://www.brookes.ac.uk/services/ocslid/staffcourses/index.html</p> <p>The 'your first three years' programme for newly appointed research active staff provides training in managing projects, project finances and staff. Details at http://www.brookes.ac.uk/res/support/training/academic</p> <p>The Graduate School provides training for supervision of research and research degree students, details at http://www.brookes.ac.uk/brookesnet/graduateoffice/staff/supervisortraining</p> <p>Annual Personal Development and Review (PDR) provides opportunity for colleagues with management responsibilities, to reflect on their work as a leader and for them to identify any development needs.</p> <p>A research leadership course is run approximately once a year to support research leaders in their roles http://www.brookes.ac.uk/services/ocslid/staffcourses/ssdp/research.html</p>	<p>The Faculty of Health & Life Sciences is developing a policy document and procedures to advise managers of research teams regarding performance management, including career development guidance, and supervision of those who work in their teams.</p> <p>Once piloted and developed within the Faculty it will be rolled out to the rest of the University</p> <p>The 'your first three years' programme will be reviewed and revised</p>	<p>Prof Linda King, FHLS</p> <p>Chair of RKTG</p> <p>Working group headed by Bob Price, Director of HR</p>	<p>End of Sept 2012</p> <p>Second half of academic year 2012-13 onwards</p> <p>Review underway. Revised programme begins Oct 2012</p>
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			Research leadership course to be developed annually	PVCR	Ongoing
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>RAE QR funding is divided on receipt: a portion is held centrally ('CRF' – central research fund) and a portion is given to faculties ('faculty QR'). Contributions from both CRF and faculty QR are used to "bridge" researchers between contracts.</p> <p>The University redeployment policy http://www.brookes.ac.uk/services/hr/handbook/recruitment/related_policies_procedures/redeployment/ operates at the end of any fixed term contract.</p>	<p>Central research funds will continue to be used as bridging funds</p> <p>The University will continue to implement its redeployment policy to support researchers at the end of fixed term contracts.</p>	PVCR Bob Price, Director of HR	Ongoing Ongoing
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>Pay progression for all staff is transparent and in accordance with the JNCHES Framework Agreement.</p> <p>Clear criteria for career progression are provided at http://www.brookes.ac.uk/services/hr/reward/academic/index.html</p>	No action required		

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>Clear criteria for career progression, including postgraduate and postdoctoral research assistant → research fellow → senior research fellow → lecturer etc are provided at http://www.brookes.ac.uk/services/hr/reward/academic/index.html</p>	<p>We will seek to raise awareness of this</p> <p>The Faculty of Health & Life Sciences is developing a policy document and procedures to advise those that manage research teams regarding performance management, including career development guidance, and supervision of those who work in their teams.</p> <p>Once piloted and developed within the Faculty it will be rolled out to the rest of the University</p>	<p>Bob Price, Director of HR</p> <p>Prof Linda King, FHLS</p> <p>Chair of RKTC</p>	<p>ongoing</p> <p>End of Sept 2012</p> <p>2nd half of academic year 2012-13 onwards</p>
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C: SUPPORT AND CAREER DEVELOPMENT

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

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

3.1	<p>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</p>	<p>Staff members with non-permanent research positions are provided with a full training programme (see sections 3.3 and 4.11, below). Their job descriptions allow them to clearly identify themselves as a key part of the academic community at Oxford Brookes University.</p> <p>The University has a PDR process that facilitates detailed advice and discussion on career development and forward planning between research staff and their line managers.</p>	<p>The Faculty of Health & Life Sciences is developing a policy document and procedures to advise managers of research teams regarding performance management, including career development guidance, and supervision of those who work in their teams.</p> <p>Once piloted and developed within the Faculty it will be rolled out to the rest of the University</p>	<p>Prof Linda King, FHLS</p> <p>Chair of RKTC</p>	<p>End of Sept 2012</p> <p>2nd half of academic year 2012-13</p>
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	requires that they provide career development which is comparable to, and competitive with, other employment sectors.	<p>The PDR process also monitors that line managers are providing appropriate support and advice to their researchers</p> <p>The University's commitment to the development of its staff is further demonstrated by the achievement of Investors in People (IIP) Gold Status. See management standards at http://www.investorsinpeople.co.uk/Documents/Branding2009/IIP_framework_summary09.pdf</p>			onwards
3.2	A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.	<p>Clear criteria for career progression are provided at http://www.brookes.ac.uk/services/hr/reward/academic/index.html</p> <p>These explain how it is possible to move between academic roles.</p> <p>Promotion pathways have recently been revised to ensure that all types of career pathway are equally valued, respected and rewarded.</p> <p>The University Careers Service run two Saturday 'careers focus' events for researchers annually, which includes CV writing and the job application process for academic and non-academic careers. The careers Service also provide one-to-one careers advice, CV feedback and interview practice for researchers applying for academic and non-academic jobs. However, these opportunities are under-used by researchers.</p> <p>Early career stage researchers have the opportunity to attend an annual 2-day 'skills summer school' based on the Vitae 'Gradschool' model, which focuses on communication skills, teamworking, networking skills and academic and non-academic careers, and is</p>	<p>Careers advice provision specifically for researchers will be reviewed and enhanced, and Faculty based (subject specific) careers events will be developed</p> <p>We will seek to raise awareness of careers advice provision for researchers</p>	<p>Dan Ferrett, Careers Service</p> <p>Susan Brooks, GS & Dan Ferrett, Careers Service</p>	<p>Review over summer (Jun-Sept) 2012. Events & awareness raising ongoing during academic year 2012-13</p>

		<p>followed by a 'careers' day specifically for researchers.</p> <p>OCSLD provide support for career and personal development, details at https://www2.brookes.ac.uk/services/ocslid/career-dev/ including on-line tools and links to training courses through three portals:</p> <ul style="list-style-type: none"> • i-GROW • AUA professional behaviours framework • Role related skills 			
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 'your first three years' programme for newly appointed research active staff begins with a half-day induction which includes direction to details about all training available http://www.brookes.ac.uk/res/support/training/index.html This includes a wide range of staff development and training courses run by OCSLD, details at http://www.brookes.ac.uk/services/ocslid/staffcourses/index.html including, for example, leadership and management training, modern European languages, introduction to consultancy skills, presentation skills etc.</p> <p>A research leadership course is run approximately once a year to support research leaders in their roles http://www.brookes.ac.uk/services/ocslid/staffcourses/ssdp/research.html</p> <p>See also section 4.11</p>	<p>The 'your first three years' programme will be reviewed and revised</p> <p>Research leadership course to be developed annually</p>	<p>working group headed by Bob Price, Director of HR</p> <p>PVCR</p>	<p>Review underway. Revised programme begins Oct 2012</p> <p>Ongoing</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.	See section 3.2	See section 3.2		
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.	Annual PDR facilitates career development discussions between research staff and their managers Clear criteria for career progression are provided at http://www.brookes.ac.uk/services/hr/reward/academic/index.html See also section 3.2	See section 3.2		
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.	The 'your first three years' programme for newly appointed research active staff begins with a half-day induction which provides an introduction to University structures, key people and support for researchers, and direction to details about all training available http://www.brookes.ac.uk/res/support/training/index.html Induction to the local work environment and role takes place within Faculties and teams. See induction guidelines at http://www.brookes.ac.uk/services/hr/handbook/recruitment/induction_new_employees/guidelines_induction .	Induction will be reviewed and revised in view of the University's recent restructuring	Susan Brooks GS & Sarah Taylor RBDO	Review underway. Revised programme begins Oct 2012

		<p>html In addition, all new staff attend a 'Welcome to Brookes' half-day induction session, as detailed at http://www.brookes.ac.uk/services/ocslid/staffcourses/induct.html</p> <p>Annual PDR facilitates career development discussions between research staff and their managers</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 practice 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>Job descriptions articulate skills and responsibilities needed at different stages of researcher career pathway and are provided at http://www.brookes.ac.uk/services/hr/reward/academic/index.html</p> <p>While the PI retains responsibility for the budget, in some teams responsibility may be devolved to researchers and, similarly, in some teams, researchers may act as mentor or advisor to others. Such responsibilities are reviewed at annual PDR</p>	No action required		
3.8	Employers also should provide a specific research 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.	<p>Research staff have access to the Brookes mentoring scheme, details at http://www.brookes.ac.uk/services/hr/mentoring/index.html</p> <p>However, the scheme appears to be little used by research staff</p>	Develop mentoring scheme specifically for researchers	Prof Linda King, FHLS, on behalf of the Associate Deans Group	Review of current practice underway. New scheme to begin Sept 2012

3.9	<p>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.</p>	<p>The University's PDR process requires staff to record the outcomes of their peer enhancement and professional dialogue activities during the past year as well as other professional development activities, such as attending and presenting at conferences.</p> <p>Development for staff is also provided in line with the Faculty's Learning and Development Plan and staff are able to bid for staff development funding eg. conference attendance, through their Faculty/Department staff development fund.</p>	<p>No action required</p> <p>Review and update of Faculty Learning and Development plans post re-structure.</p>	<p>Chair of RKTC</p>	<p>By Sept 2012</p>
4.10	<p>Researchers should be empowered by having 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.</p>	<p>The University's PDR process facilitates career development discussions between research staff and their managers.</p> <p>The University's Code of Practice for the Career Management and Development of Researchers http://www.brookes.ac.uk/services/hr/handbook/recruitment/related_policies_procedures/career_mgt_contract_research_staff.html provides general guidance to managers and research staff about the way in which the University wishes to handle the employment and career development of colleagues employed wholly or mainly to carry out research. However, the Code has not been revised since 2004.</p>	<p>The University's Code of Practice for the Career Management and Development of Researchers will be reviewed and updated</p>	<p>Susan Brooks, GS & Bob Price, Director of HR</p>	<p>By end of July 2012</p>

4.11	Employers will wish to ensure that development 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 duly disadvantaged when moving from one employer to another.	<p>Previous experience and training is taken into account, on an individual basis, when planning training programmes for individual researchers.</p> <p>Training and professional development opportunities available to research staff are summarised at http://www.brookes.ac.uk/res/support/training/academic</p> <p>The 'your first three years' programme for newly appointed research active staff provides training in topics relevant to academic practice, including:</p> <ul style="list-style-type: none"> - induction - an introduction to University structures, key people and support for researchers - good practice in grant writing - managing projects, project finances and staff - training for teaching (see section 4.12) - training for supervising research and research degree students <p>Other opportunities, open to all research active staff, include:</p> <ul style="list-style-type: none"> - training provided by the Graduate Office for research supervisors http://www.brookes.ac.uk/brookesnet/graduateoffice/staff/supervisortraining - OCSLD staff development courses http://www.brookes.ac.uk/services/ocslid/staffcourses/index.html - Training provided by computer services www2.brookes.ac.uk/services/cs/training/trainhm.html - Training provided by the University library http://www.brookes.ac.uk/library/training.html - Statistics and maths training and support http://www.brookes.ac.uk/res/support/training/statslink 	<p>No action required</p> <p>Training opportunities will be regularly reviewed and revised</p> <p>The 'your first three years' programme will be reviewed and revised</p>	<p>Susan Brooks, GS</p> <p>Working group headed by Bob Price, Director of HR</p>	<p>Annually</p> <p>Review underway. Revised programme begins Oct 2012</p>
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4.12	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.	All research active staff who teach receive compulsory training in teaching provided by OCSLD. 'First steps in teaching' provides a basic introduction to the discipline. Those who undertake more than 50 hours of teaching activity (including marking and preparation time) benefit from the Associate Teachers course. This provides an entry route to the Postgraduate Certificate in Teaching in Higher Education (PCTHE) which is taken by academic staff on 0.5fte or more contracts, is nationally recognised and is accredited by the Higher Education Academy. All details at http://www.brookes.ac.uk/services/ocslid/staffcourses/earning_teaching/index.html	No action required		
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 and management committees.	Researchers are welcomed to staff meetings and are formally represented (by one of their number) on both Faculty Research & Knowledge Transfer Committees (RKTCs) and at the main University RKTC. Researcher feedback is collected through CROS, although in the 2011 CROS only 16% of research staff participated.	In view of the recent University restructuring, we will review the mechanisms by which researcher input is disseminated Encourage greater participation in CROS, mediated through Faculty research leads	PVCR Chair of RKTC	Agenda item RKTC's during academic year 2012-13 CROS 2013
4.14	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement	Research staff have access to the Brookes mentoring scheme, details at http://www.brookes.ac.uk/services/hr/mentoring/index.html However, the scheme appears to be little used by research staff	Develop mentoring scheme specifically for researchers	Prof Linda King, FHLS on behalf of the Associate Deans Group	Review of current practice underway. New scheme to begin Sept 2012

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D: RESEARCHERS' RESPONSIBILITIES					
Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.					
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	<p>Research role profiles http://www.brookes.ac.uk/services/hr/reward/academic/index.html, articulate the responsibilities and expectations of research staff.</p> <p>The University's Code of Practice for Academic Integrity http://www.brookes.ac.uk/res/policy/academic_integrity.pdf including procedures for investigating allegations of misconduct in research as well as outlining good practice</p> <p>See also section 2.3</p>	We will continue to review the University's Code of Practice for Academic Integrity on a regular basis	PVCR	Ongoing
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.	As articulated in the University Research and Knowledge Transfer Strategy, http://www.brookes.ac.uk/about/strategy/development/docs/rkts2010-15.pdf , researchers are encouraged to undertake knowledge transfer and commercialisation activities alongside their research. The Research and Business Development Office (RBDO) http://www.brookes.ac.uk/res/support offers	No action required until review in 2015	Chair of RKTC	2015

		<p>professional support to researchers with the commercialisation of their research. The support includes mentoring and coaching of researchers in the principles of commercialisation and with the effective commercial engagement with external organisations. A team approach is adopted bringing together relevant skills and producing a team learning environment. The office also provides specific training and development for researchers in consultancy.</p> <p>Impact statements for the Research Excellence Framework and for Research Councils are used to collect information and feed back to Faculties</p>			
5.3	<p>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</p>	<p>The University's Code of Practice for Academic Integrity http://www.brookes.ac.uk/res/policy/academic_integrity.pdf makes a commitment to the general public who volunteer to be part of any research study that requires ethical approval that each researcher (staff member and/or post-graduate student) will make available to them a summary of their research findings and any published work at the conclusion of a project. This commitment to public accountability and open access is overseen by the University Research Ethics Committee (UREC) http://www.brookes.ac.uk/res/ethics/committee on behalf of the Pro Vice Chancellor for Research, and reports not less than once a semester to the University Research and Knowledge Transfer Committee (RKTC). UREC meets once a month for ten months of the academic year. It is the responsibility of the Committee, delegated to the Chair, to ensure that as part of the ethical review process members of the University community always declares their intention to disseminate their research outputs. This can be via</p>	<p>We will continue to monitor compliance in terms of 'chasing' annual reports from those engaged in UREC-approved projects and reminding them of the importance of their public engagement obligations.</p>	Chair of UREC	ongoing

		<p>a project web site, online journal articles, or making available an electronic copy of research findings emailed to research subjects, generally on request. Ethical approval is not given unless the researcher agrees to this at the start of the research process. All research outputs are then monitored annually by the Assistant Dean for Research in each Faculty in conjunction with the Research Leads in each subject area. UREC also requests for audit purposes an annual report from each active research study that had ethical approval. This is a checking mechanism to try to ensure that each researcher has complied with the University commitment to public engagement, broadly defined.</p> <p>Recently the University has set up a central repository for published outputs called RADAR http://radar.brookes.ac.uk/radar/access/home.do?. It encourages all staff and PhD students to enter the bibliographic details of their publications and where feasible for copyright reasons to put research outputs on open access.</p> <p>The Chair of UREC also runs several training sessions on ethics in conjunction with the Graduate School http://www.brookes.ac.uk/brookesnet/graduateoffice/current/research/training and as part of the 'your first three years' programme for new researchers http://www.brookes.ac.uk/res/support/training/academic. During those sessions, the importance of disseminating research is stressed.</p>			
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	<p>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.</p>	<p>emphasis is clearly on individual researchers to take responsibility for their own career development. Line managers of researchers are expected not only to provide informal advice and recommendations, but also to strongly encourage attendance at events that assist career development and these issues are addressed in annual PDR</p>			
5.6	<p>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.</p>	<p>PDR is regarded as mandatory for all, so researchers automatically take part in this aspect of career planning and development. Discussion of future destinations and jobs is regarded as an essential part of the PDR process.</p> <p>Researchers have access to a range of training and development activities, see sections 3.2 and 3.3. Attendance records are kept and training is reviewed and planned at PDR. A record of training and professional development activities is recorded on all staff 'PIP' ('personal information portal) pages http://www.brookes.ac.uk/services/hr/handbook/access_to_systems/pip.html</p>	<p>See section 5.4</p> <p>See sections 3.2 and 3.3</p>		

E: DIVERSITY AND EQUALITY
Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

6.1	<p>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</p>	<p>The University embraces the spirit of all equalities legislation and codes of practice, ensures that all its policies and practices meet the requirement and intent of all relevant legislation and is committed to developing policies, practices and procedures which actively promote equality of opportunity and maximise the abilities, skills, and experience of staff, students and visitors to the University.</p> <p>See the Equal Opportunities and Diversity pages at http://www.brookes.ac.uk/services/hr/eod/index.html</p> <p>The Centre for Diversity Policy Research and Practice http://www.brookes.ac.uk/services/hr/cdprp/ specialises in research and knowledge transfer activities in the area of equal rights in employment and diversity management in the workplace</p> <p>See also 1.2</p>	No action required		
6.2	<p>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>The University's Recruitment and Selection Policy http://www.brookes.ac.uk/services/hr/handbook/recruitment/policy_procedure.html aims to:</p> <ul style="list-style-type: none"> •To secure the widest possible response to employment vacancies. •To encourage candidates from all sections of the community to apply for University vacancies. •To select the most suitable candidate to carry out the duties of the post •To make selection decisions which do not discriminate unfairly against any group or individual. •To give a good impression of the University as a professional and progressive organisation. <p>All staff who sit on interview panels are required to attend recruitment and selection</p>	We will continue to monitor the success of its Policy and will present data to the University Executive Board on a regular basis	Bob Price, Director of HR	Ongoing

		training which includes specific emphasis on equality and diversity.			
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.	See sections 6.4 and 6.5 below. This will also be reviewed as part of the annual Equality and Diversity Reports http://www.brookes.ac.uk/services/hr/eod/reports/ and actions addressed.	We will continue to produce an annual equality & diversity report and act on any issues that are highlighted	Bob Price, Director of HR	Ongoing
6.4	Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career	We have developed policies to support all staff in achieving a good work-life balance. The University has a comprehensive flexible working policy http://www.brookes.ac.uk/services/hr/handbook/workinghours/flex/index.html . which goes beyond the statutory minimum and allows any member of staff to request flexible working, subject to operational requirements. We support staff in their family life through our maternity leave, parental leave and paternity, maternity and adoption support leave policies. The Centre for Diversity Policy Research and Practice http://www.brookes.ac.uk/services/hr/cdprp/ has carried out research into women’s under-			

		<p>representation in senior roles in higher education, and developed interventions.</p> <p>The Oxford Association for Women in Science and Engineering (AWiSE) is an organisation of women working in science and engineering in the Oxford area. It functions as a support network for women working in science and technology as well as reaching out into the wider community to show that women can do science successfully and with great enjoyment. Links to AWiSE are provided through the University Equal Opportunities and Diversity pages at http://www.brookes.ac.uk/services/hr/eod/genderequality/</p> <p>The University has been a member of the Athena Swan Charter since 2009</p>	We are working to achieve Athena Swan 'bronze' status	Working group headed by Prof Linda King, FHLS	Already underway, complete by July 2012
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	<p>The University has a comprehensive flexible working policy: http://www.brookes.ac.uk/services/hr/handbook/workinghours/flex/index.html see also section 6.4</p>	No action required		
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	<p>We agree! PI's will contact the funder directly. If the funder will not support the leave, University policy http://www.brookes.ac.uk/services/hr/handbook/family/parental.html supports parental leave for all staff.</p>	No action required		

	provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave				
6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	<p>The University policy, procedures and guidelines for the recruitment and selection of staff are based on the University's Equal Opportunity and Diversity statement http://www.brookes.ac.uk/services/hr/eod/statement.html</p> <p>The University's Recruitment and Selection Policy and Procedure http://www.brookes.ac.uk/services/hr/handbook/recruitment/policy_procedure.html provides guidelines for the composition of panels and recommends as far as practicable an appropriate mix of panel members, for example a gender mix.</p> <p>The need for diversity in Recruitment and Selection panels is also covered in Recruitment and Selection training, which is run regularly and is mandatory (with regular update training) for all involved in recruitment and selection http://www.brookes.ac.uk/services/ocslid/staffcourses/essential/recruitment.html</p>	No action required		
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	<p>The University policy, procedures and guidelines for the recruitment and selection of staff are based on the University's Equal Opportunity and Diversity statement http://www.brookes.ac.uk/services/hr/eod/statement.html</p> <p>The University has a comprehensive flexible working policy http://www.brookes.ac.uk/services/hr/handbook/workinghours/flex/index.html</p>	No action required		

	<p>change policies or practices that directly or indirectly disadvantage such groups</p>	<p>see also sections 6.4 and 6.5.</p> <p>The Centre for Diversity Policy Research and Practice http://www.brookes.ac.uk/services/hr/cdprp/ has carried out research into women's under-representation in senior roles in higher education, and developed interventions.</p> <p>The University has a nursery and provides childcare vouchers. Details at http://www.brookes.ac.uk/student/services/nursery/ and http://www.brookes.ac.uk/services/hr/eod/vouchers.html</p> <p>An overview of University policies that support that support work-life balance may be found at http://www.brookes.ac.uk/services/hr/eod/wlb/policies.html</p> <p>The Staff Disability Adviser gives advice to disabled staff, managers and job applicants about working effectively at Oxford Brookes http://www.brookes.ac.uk/services/hr/eod/disability/disability_adviser.html</p>			
6.9	<p>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.</p>	<p>Oxford Brookes University is committed to providing a working environment free from harassment and bullying and which supports the right of all staff to be treated with respect. As part of that commitment we have a Harassment and Bullying Policy and a network of trained Harassment Advisers. http://www.brookes.ac.uk/services/hr/handbook/problems/harassment.html</p> <p>Oxford Brookes also has a number of trained</p>	No action required		

		mediators who hold the National Certificate in Workplace Mediation and the University promotes mediation (http://www.brookes.ac.uk/services/hr/handbook/problems/mediation.html) as an alternative mechanism for staff dispute resolution. http://www.brookes.ac.uk/services/hr/handbook/problems/mediation.html			
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.	The University has been a member of the Athena SWAN Charter since 2009	We are working to achieve Athena SWAN 'bronze' status	Working group headed by Prof Linda King, FHLS	Already underway, complete by July 2012

E: Implementation and Review

Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.

7.1	The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.	Implementation of the Concordat is overseen by the University RKTC and Faculty RKTCs. As University posts become vacant, they are advertised through a website https://edm.brookes.ac.uk/hr/hr/vacancies.do and are open to internal applicants. The University has a good track record of research staff progressing through successive career stages, for example, Rajat Gupta, Professor of Sustainable Architecture and Climate Change, began his research career as a PhD student at the University and has successfully progressed to Professor, see http://www.brookes.ac.uk/profiles/staff/rajat_gupta	Compliance with the Concordat and implementation / progress with this Action Plan will become a standing item in University RKTC agendas and will be formally reviewed annually. Develop mentoring scheme specifically for researchers	Chair of RKTC Prof Linda King, FHLS on behalf	From beginning of 2012-13 academic year and ongoing Review of current practice underway. New scheme
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		As indicated in section 4.11, research staff have access to a comprehensive suite of training opportunities to support careers progression and personal and professional development.		of the Associate Deans Group	to begin Sept 2012
			The Faculty of Health & Life Sciences is developing a policy document and procedures to advise managers of research teams regarding performance management, including career development guidance, and supervision of those who work in their teams.	Prof Linda King, FHLS	End of Sept 2012
			Once piloted and developed within the Faculty it will be rolled out to the rest of the University	Chair of RKTC	Second half of academic year 2012-13 onwards
7.2	The signatories agree: a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress. b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat. c. to contribute an appropriate share of the costs of supporting	Implementation of the Concordat is overseen by the University RKTC and Faculty RKTCs. The University participates in CROS, although the level of response from researchers was disappointing (16%) in the 2011 survey.	Compliance with the Concordat and implementation / progress with this Action Plan will become a standing item in University RKTC agendas and will be formally reviewed annually. The University will undertake any review requested by Vitae or other appropriate external bodies Encourage greater participation in CROS, mediated through Faculty research leads	Chair of the RKTC As appropriate Chair of the RKTC	From 2012-13 academic year and ongoing As appropriate CROS 2013

	<p>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 progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector)</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	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	<p>A range of senior University staff regularly attend VITAE events that assist in realising the potential of researchers</p> <p>The Deputy Head of the Graduate School is an active member of the SE Hub and regularly participates in meetings and training events</p>	<p>This will continue</p> <p>This will continue</p>	<p>PVCR</p> <p>Susan Brooks, GS</p>	<p>Ongoing</p> <p>Ongoing</p>

	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.				
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 ³ and on the sharing of good practice between institutions and to provide evidence of its impact.	<p>The University is a member of the West Midlands HE Equality & Diversity Group which meets regularly to share good practice and discuss current issues.</p> <p>The Centre for Diversity Policy Research and Practice http://www.brookes.ac.uk/services/hr/cdprp/ has carried out research into issues including women's under-representation in senior roles in higher education, and developed interventions.</p>	<p>The University currently have a working group to integrate Equality and Diversity for staff and students and to produce an action plan based on existing data.</p> <p>Equality impact assessment is a requirement for the REF process and data collection is underway</p>	<p>Claire Morris, HR.</p> <p>Andrew Willis, HR</p>	<p>Action plan to be produced annually from 2012</p> <p>Ongoing until Apr 2013</p>

Abbreviations:

RKTC – Research & Knowledge Transfer Committee

HR – Human Resources

PVCR – Pro Vice Chancellor for Research & Knowledge Transfer, Prof Alistair Fitt

GS – Graduate School

FHLS – Faculty of Health & Life Sciences

RBDO – Research and Business Development Office

REF – Research Excellence Framework

UREC – University Research Ethics Committee

CROS – Careers in Research Online Survey

HE – Higher education

JNCHES – Joint Negotiating Committee for Higher Education Staff
OCSLD – oxford Centre for Staff and Learning Development
PDR – Personal Development Review
RAE QR funding – Research Assessment Exercise Quality Research funding
CRF – central research fund
RADAR – Research Archive and Digital Asset Repository