

HR Excellence in Research Action Plan 2018-20

January 2018 (Revised 6th June 2018)

Principle 1: RECRUITMENT AND SELECTION					
Recognition of the importance of recruiting, selecting a	nd retaining researchers with the highest potential to achieve excellence	e in research.			
Sub principle	Action	Lead	Supported by:	Success Criteria	Timescale
	ect Recruitment processes must reflect the University's standard on diversity and inclusion and appropriate to research recruitment	HRD	HR Resourcing	Recruitment and selection in line with funding council requirements and University commitment to E&D. E&D reports to evidence delivery of action.	Annual review, Sept 2018, 2019
required for the post and these requirements should be relevant to the role.	Advice to PIs on naming researchers at the point of application for funding is consistently applied in line with University Recruitment and Selection policies.	Deans	ADR, DOR		Annual Review, Dec 2018, 2019
4. To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values	es,	HRD	HR Resourcing	All Chairs of panels to have had appropriate training.	Ongoing as new chairs appointed
individuals who are members of recruitment and promot panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the	All recruitment panel members receive training before taking part in recruitment	HRD	HR Resourcing	Online training registers maintained by L&D	Ongoing as new panel members appointed
researcher in considering their further career developme	nt. Review the need for further training on providing tailored feedback to unsuccessful candidates	HRD	HR Resourcing	When requested, unsuccessful candidates are provided with appropriate constructive feedback tailored to the RDF.	Annual Review, Sept 2018,2019
Principle 2: RECOGNITION AND VALUE					
Researchers are recognised and valued by their employ	ng organisation as an essential part of their organisation's human resou	rces and a key component of t	heir overall strategy to develop and deliver v	vorld-class research.	
Sub principle	Action	Lead	Supported by:	Success Criteria	Timescale
 Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they employed on a fixed term or similar contract. In particula employers should ensure that the development of researchers is not undermined by instability of employm- contracts. This approach should be embedded throughout 	r, ent	Deans	HoS ADRs	in perceptions of equality of opportunity (increase to 30% in CROS2019) Responses to CROS survey questions	Review point October 2018, CROS/PIRLS2019 CROS2019
all departmental structures and systems.				relating to being fairly treated at work, with access to training and development, increase to an average of	

	HR Partners to conduct spot check audits of 10% of researchers' records to ensure that attendance on development courses is not undermined by stability in working contract.	HR Partners		Hours of training recorded for researchers will reflect their individual needs as identified through appraisal/review. Researchers of STCs will have similar training records to research staff on permanent contracts in terms of total hours of training recorded.	Annual review Sept 2018 and 2019
	equality and diversity training) for research managers,	Head of L&D		Annual review of L&D course provision Records show 85% compliance with equality and diversity training	Annual review 01/02/2018, 01/02/2019 Annual review, Sep 2018,2019
managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports	Ensure all research managers attend leadership and management skills courses	Deans		Recently appointed Research Managers nominated by Deans, invited and enrolled in the Leadership@hull development programme.	Review 01/12/2018,01/12/2019
	Assess use of refreshed appraisal process to ensure that it helps manage performance and in particular how managers are assessed, developed and rewarded.	HRD		Create and review take-up of offer and attendance records. Annual review of training for reviewers. Annual monitoring of appraisal compliance Improved satisfaction ratings with appraisal to 60% (CROS/PIRLS2019)	
	To review current induction programme and induction toolkit materials to determine whether a specific research induction plan should be created for Researchers. (See also Principle 3&4:10)	Head of L&D		Induction activity reviewed after each central event and materials updated as appropriate	3 events per year
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.	Make researchers more aware of access to advice and guidance provided by Careers and Employability and to potential funding from the University internship scheme.	n Employability Service	HR Partner Team Deans; CSG	Number of enquiries and outcomes recorded Careers advisor co-delivers appropriate L&D events	01/09/2018 Annual review
	Investigate the potential for University to set up a bridging fund(time limited) to support continuity	PVC R&E		Potential established and funding stream identified Fund established	01/12/2018 01/12/2019

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Interpolation of the production of the productio	their own careers as well as having access to additional pay					
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	Launch revised programme	Head of L&D	R&E	Revised programme launched	1 September 2018, 2019.
	Evaluate revised programme using interim review and survey.	Head of PSOD	Head of L&D	Positive evaluations of events in research portfolio.	01/12/2018,2019
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	Please see Principle 2:3 Explore barriers to participation in development events and opportunities	CSG to commission	Head of L&D	Evidence collected and reported to CSG via ADRs, including CROS2019 and focus groups Greater take up of development opportunities	
	Assess research environment and develop improvement plans	Deans	ADRs	Increased satisfaction (70%) with access to training and development opportunities in results of CROS and PIRLS survey 2019	CROS/PIRLS 2019
	Use appraisal process to encourage professional development	HRD	ADRs/HoS/PIs	Monitor research staff appraisal take-up (HR figures via iTrent) and researchers' response to appraisal (Staff Survey Spring 2018, CROS 2019). Target take-up rate of appraisal of 70% and satisfaction with appraisal of 60%.	01/12/2018, 2019
	Investigate the use of induction programmes within Faculties and share good practice across the Institution	Head of L&D	HoS	Induction programmes review and good practice disseminated; new event 'Planning for effective induction' included in portfolio for 2018/19	Sep-18
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	Continue to promote RDF to researchers and their research leaders as a useful tool to plan and action development as a researcher. Integrate with new "on-boarding" processes. Include appropriate content within updated performance management training.	Head of L&D	ADRs	RDF used to identify skills sets required by individual researchers and consideration given to the opportunities that can be made available to support acquisition of those skills	
mentor or advisor to other researchers and students.	Include discussion of career development in the annual appraisal process	HOSs		Increased take up of RDF licenses Feedback from annual appraisal process Increased satisfaction with appraisal process to 60% evidenced in CROS 2019	

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.	As part of the revised training programme for researchers, review the current mentoring arrangements to ensure research specific requirements are catered for.	CSG	L&D	Researchers have access to a flexible and appropriate mentoring scheme that enables career development. Take-up monitored via ADRs and satisfaction with scheme measured via CROS2019.	Dec-18
	To work with the HR business partners to identify career pathways for Researchers and actions to implement.	HR Partner Team	DoR ADRs Head of L&D	Potential career pathways are clearly articulated	Dec-18
	Creation of career development frameworks for researchers	HR business partner		Career development frameworks created and made available	Jul-19
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.	Researchers are able to access support to discuss CPD activity and have access to formal development as required. (See also Principle 3&4:6) Revised training programme for researchers to have clearly articulated learning pathways and to clarify training that is: - Must have/do - Optional - Enhanced	Deans Head of L&D	ADRs;PIs, HoDs	Improved responses in both CROS and PIRLS surveys, e.g. number of days used for CPD activity, increased satisfaction with appraisal process Compliance with mandatory training monitored and reviewed. Evaluation of optional events demonstrates relevance. Evaluation of relevance 75% positive on feedback forms	01/09/2018,2019 01/09/2018,2019
10. 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	Use appraisal process in a flexible way to accommodate specific needs of researchers to enable a meaningful process (see also action 2.3)	HRD	Deans,ADRs, HoDs, PIs and L&D	Increased satisfaction with the value of appraisal in results of CROS and PIRLS survey 2019 e.g. to 60% as useful overall for both groups.	CROS/PIRLS 2019
advice on their prospects for success in their preferred career.	Assess the level of interest in forming a new Research Staff Association (RSA) and, if there is a demand, initiate the process of setting one up.	Head of L&D		Requirement for RSA assessed. Set up with help from L&D if required	01/07/2018 01/12/2018

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.	Continue to provide learning and teaching training and support for researchers with teaching and demonstrating opportunities.	Director of L&TE	L&D	Credit-bearing learning and teaching module, providing a route to Associate Fellowship of the HEA, available for PDRA staff in 2018 to ensure that they gain appropriate lecturing experience. Take-up and value evaluated successfully, reported to CSG.	01/12/2018,2019
14. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	Monitor uptake of coaching opportunities by research staff, including internal offer by L&D and through the Yorkshire Accord Scheme	Head of L&D		Increase in take-up of offer by researchers.	01/12/2018,2019
	Research mentoring schemes will be implemented across all faculties in 2018.	Deans	ADRS	All Faculties will have research mentoring schemes in place. Monitored annually.	01/12/2018, 2019
Principle 5: RESEARCHERS' RESPONSIBILITIES					
· · · ·	to pro-actively engage in their own personal and career developme		T		
Sub principle	Action	Lead	Supported by:	Success Criteria	Timescale
 Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers. 	Continue to monitor the implementation of the action plan for the Concordat to Support Research Integrity	CSG	Deans; R&E GS; ADRs to communicate action plan to faculties	Local areas report on progress to URC via CSG	01/09/2018,2019
	Launch online Research Integrity Module	Head of L&D CSG		Module launched Take up by all researchers complete. New staff advised of requirement through Mandatory Training Map	01/02/2018 31/12/2018
				University able to evidence compliance to HEFCE	Ongoing
	Researchers output to be monitored on an annual basis to ensure that output does not diminish over time	Deans	ADR	Individuals research outputs are maintained over sustained periods - monitored by Annual Research Report within Faculties. Information recorded in data management system WORKTRIBE	Ongoing
 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 	Promote and communicate opportunities for developing awareness of commercialising research and knowledge transfer	Head Comercialisation; FBDM	Deans, ADRs, L&D, HR to promote through their existing processes and programmes	Increased awareness and opportunities to take part as measured in CROS survey to achieve 75% for awareness.	01/09/2018,2019
	Researchers encouraged to consider impact when preparing grant applications	ADR	HoS	No of applications including effective reference to impact as monitored within Faculties	01/12/2018,2019
	Review training on making grant applications, included as part of revised training programme for researchers	Head of L&D	R&E	Continued inclusion of funding workshops in programme for researchers	01/09/2018,2019

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	CSG to identify clear measures to evaluate the effectiveness of implementation of Concordat to Support Research Integrity	CSG	ADRs	Measures and training required under Concordat are delivered	Annual Review 2018,2019
knowledge	Clear dissemination of good practice policies on website and/or sharepoint	Marcomms	CSG	University website and intranet contains up to date and relevant material	Annual Review 2018,2019
	Online Research Integrity module launched Feb 2018 to be supported by Faculty-led initiatives	L&D	R&E	All researchers have completed course. Researchers confirm awareness of Code of Good Research Practice through appraisal. Increase in awareness of Concordat to Support Research Integrity in CROS2019.	Annual review Dec 2018,2019. CROS2019
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	Communicate the expectations of the University that researchers should be proactive in engaging with their career development through appraisal and L&D workshops	HRD	Deans,ADRs, HoDs, PIs and L&D	Effectiveness of message evaluated using data analytics and results of the Staff Survey 2018, CROS 2019	2018, 2019
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	Use of RDF as a method of recording CPD is promoted as part of revised performance management process.	CSG	ADRs/L&D	Increased take-up of RDF licences. CSG to support this programme and review uptake data with data from L&D as administrators of the RDF	Annual Review of RDF licences Jan 2018; 2019.
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.	Enhance the appraisal system to act as a trigger for career development discussion and recording of the conversations using the RDF.	HRD		Increase satisfaction with appraisal (to 60% in CROS 2019). Higher take up of RDF licenses (as reported to CSG annually)	Dec 2019; 2019
Principle 6: DIVERSITY AND EQUALITY Diversity and equality must be promoted in all aspects of the	ne recruitment and career management of researchers				
Sub principle	Action	Lead	Supported by:	Success Criteria	Timescale
3. It should be emphasised that the demanding nature of	Impact assess university wide initiatives and incentives for	Head of ED&I	Deans	Review completed, evaluation made	To meet Athena SWAN review
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	identifying, retaining and developing researchers for report to URC		HR; ADRs,Faculty AS champions	and actioned Measure as part of relevant surveys e.g.	timescales
indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.	done across the University.			CROS and PIRLS	

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	Continued development of positive research environments where flexibility is encouraged and awareness of individual challenges can be accommodated.	Deans		Positive data from Staff Survey suggesting more flexible responses are made (e.g. fewer individuals identify problems). Research staff clearly identified in survey responses. Data from CROS and PIRLS 2019 suggest increasingly positive and increasingly similar attitudes to their employment experience	Jul-18 CROS/PIRLS 2019
and work, children and career.			HR partners	Monitor records of flexible working requests and outcomes	Annual review, Dec 2018, 2019
				• • • • • • • • • • • • • • • • • • • •	Review annually. Promote as opportunities present.
	Ensure alignment with Athena SWAN action plan	Head of ED&I		Aligned delivery programmes	01/07/2018,2019
10. Employers should also consider participation in schemes	The University has been awarded the Athena SWAN Bronze Award.	HoDs		Number and success of departmental or	Ongoing annual review Sept 2018,
such as the Athena SWAN Charter, the Juno Project and	The University signed up to University wide applications for			school applications	2019
other initiatives aimed at promoting diversity in research	departments or schools				
careers.					
Principle 7: MONITORING AND EVALUATION		•			
The sector and stakeholders will undertake regular and coll	lective review of progress in strengthening the attractiveness and sus	stainability of research careers in	n the UK.		
Sub principle	Action	Lead	Supported by	Success Criteria	Timescale
The implementation of the Concordat's principles will	Develop an explicit communication strategy to ensure greater	Marcomms	CSG	Website and/or intranet populated with	Jun-18
lead to greater integration of researchers into the	awareness of the Concordat Agenda			information that is relevant, accessible	
mainstream management and career development				and up-to-date	
structures of their employing organisations. The aim of this				Use data analytics to evaluate access	September 2018, 2019
section is to promote implementation through a collective				and use of site	
commitment to reviewing its progress.	Consider any developments arising as a consequence of the Concordat Review	CSG	R&E, L&D	Changes reported to CSG and implications for CSG agenda considered	2018

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 University to maintain its membership of the Vitae organisation.	R&E		Membership retained and use of Vitae website promoted during Induction and the revised training programme. Assess usage through Vitae's figures of registered University of Hull users.	Annual review Sept 2018, 2019
	To maintain a regional and national presence at Vitae events and networks	Head of L&D	GS	Events and networks attended and learning is shared.	Ongoing
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,	To maintain good practice sharing opportunities through the Network of Expert Researcher Developers (NERDS)	Head of L&D	GS	Attend NERDS meetings and share learning.	Ongoing, 3-4 meetings per year
sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.	To continue to promote and support the use of the RDF to research students and staff and include in on boarding material for both staff and students.	Head of L&D		On boarding material for staff and students includes information on the RDF and its use in career planning/development. Increased awareness of RDF to 50% in CROS2019.	Annual Review Dec 2018; 2019; CROS2019
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	Continue to take part in the national CROS and PIRLS surveys	CSG to commission		Surveys conducted and outcomes presented to URC and used to inform future planning.	CROS/PIRLS 2019; Staff Survey 2018
and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.	Develop the use of focus groups to add additional insights to survey data across the University and through networks with other HEIs	CSG to commission		Researchers are consulted on pertinent and relevant issues relating to research across the University and beyond.	As required for specific purposes
	Equality and Diversity data presented to URC for profiling of researchers and impact/risk assessment.	Head of ED&I		Where ED&I data highlights trends which require further investigation, action is then taken to address the relevant issues.	Annual review, Date CROS/PIRLS 2019
	Integration of activities with Athena SWAN	Head of ED&I		Limited additional datasets	Annual review, Sep 2018, 2019

Abbreviations

ADE Associate Dean for Engagement
ADR Associate Dean for Research
All Academic Investment Initiative

CROS17 Careers in Research Online Survey 2017

CSG Concordats Steering Group

DoR Director of Research

ED&I Equality, Diversity and Inclusion team

FG Focus Group
FTC Fixed term contract

FBDM Faculty Business Development Managers

GS Graduate School
HoS Head of School
HR Human Resources

LTE Directorate for Learning and Teaching Enhancement

L&D Learning and Development

MARCOMS Marketing and Communication department

I Principal Investigator

PIRLS17 Principal Investigators and Research Leaders Survey 2017
PSOD Head of People Services and Organisational Development

PVC-RE Pro-Vice-Chancellor for Research and Enterprise
RDF Vitae Researcher Development Framework

REF Research Excellence Framework
R&E Research and Enterprise Team
RIS Research Information System
R&S Recruitment and selection

UASSG University Athena Swan Steering Group
UREC University Research and Enterprise Committee