

The University of Nottingham Concordat Action Plan 2011-2015

-2 year review updates

The internal evaluation of The University of Nottingham's Concordat Implementation Action Plan (2011-2014) was conducted by the Research Staff Group (RSG) and reported to Research Board in May 2013. The RSG is chaired by the Assistant Pro-Vice Chancellor for Research and includes representatives from Research Staff (faculty reps, senior research staff rep), Careers and Employability Service, Graduate School, Human Resources, Professional Development and Women in Science Engineering and Technology Group (WinSET). The RSG reports through the Pro-Vice Chancellor for Research to the University's Research Board.

Researchers' views have been taken into account during this review through input from the research staff representatives on the RSG (who represent both school and faculty Research Staff Networks), consideration of the results of The University of Nottingham 2011 Staff Survey and 2013 Careers in Research Online Surveys. The group have also received input from academic schools and other professional services which has fed into this evaluation.

This document outlines the progress made against The University of Nottingham's Concordat Implementation Action Plan (2011-15) and includes new and ongoing actions for the 2013-15 period identified during the 2nd year internal review undertaken in June 2013.

Abbreviations

		Key
APR	Activity Performance Review	 Action completed
APRC	Activity Performance Review Committee	 Action completed with ongoing activity
BEIS	Business Engagement and Innovation Services	 Action ongoing/new
CES	Careers and Employability Service	
CROS	Careers in Research Online Survey	
FSWG	Fellowships Working Group	
GS	Graduate School	
HR	Human Resources	
PD	Professional development	
PDPR	Professional Development and Performance Review	
PI	Principal Investigators	
PIRLS	Principal Investigators and Research Leaders Survey	
RB	Research Board (Replaced RKTB 2012)	
RGS	Research and Graduate Services	
RKTB	Research & Knowledge Transfer Board (Disbanded 2012)	
RSG	Research Staff Group	
WinSET	Women in Science, Engineering and Technology	

Principle 1: Recruitment and selection

Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research

Action	Lead	Progress	Link to further information
Recruitment and selection As part of a business process improvement project, the information and guidance on recruitment and selection will be reviewed.	HR	COMPLETED Recruitment toolkit revised and implemented Timeframe: Sept 2010-May 2011	
Recruitment and selection The role of Human Resources in supporting recruitment activities will be assessed as part of the business process project to include harmonisation of support for researcher recruitment.	HR	COMPLETED and ONGOING The review was undertaken. Harmonisation of the support will be delivered through the implementation of a new e-recruitment solution which is in development. Timeframe: Review Sept 2010-August 2011. Implementation ongoing to 2015	
Access to Human Resources information and policies The Human Resources website will be restructured to improve accessibility to guidance.	HR	COMPLETED Re-design of HR website and workspace complete Timeframe: Sept 2010-December 2011	http://www.nottingham.ac.uk/hr
Training for recruiters The recent policy decision of mandatory training for recruiters will be implemented.	PD	COMPLETED Well-established requirement for all recruiters to attend training or complete the online recruitment materials and is a specific question asked by HR when panels are set up. The materials contained on the PD website have been updated to reflect that research staff recruiters should receive training. Timeframe: Sept 2010-April 2012	http://www.nottingham.ac.uk/csc/recruitment/

Key

- Action completed
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Principle 2: Recognition and value

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.

Action	Lead	Progress	Link to further information
Activity Performance Review process The Research Staff Group recommended that the ongoing review of the Activity Performance Review process consider a more explicit focus on career development.	APRC	COMPLETED In 2011, the University replaced its APR with a new PDPR process. The new PDPR process has a much stronger focus on professional and staff development than the previous APR system and provides resources and training to support researchers and their managers to incorporate this into their goals and working practices. Timeframe: 2011-2013	http://www.nottingham.ac.uk/hr/guidesandsupport/performanceatwork/pdpr/pdpr-system.aspx https://training.nottingham.ac.uk/cbs-notts/Guests/GuestCourse.aspx?CourseRef=PDPR
Activity Performance Review process It is recommended that the revised Activity Performance Review process be monitored against these 2009 benchmark data.	RSG	COMPLETED In the CROS 2013 results the proportion of respondents who reported having participated in appraisal review in the last 2 years had increased to 92% (from 88% over 12 months as reported in CROS 2009) with an increase to 53% in those who reported that it was very useful or useful in helping them to focus on their career aspirations. These results suggest that the new PDPR process is starting to address professional and career development issues. Timeframe: 2011- 2013. Review following next CROS.	
PDPR process A review of the new PDPR process by HR and the development of a research staff focussed competency framework aligned to the RDF and institutional promotions criteria which will support research staff and their reviewers with the career and professional development elements of the PDPR process.	HR	NEW Timeframe: 2013 onwards Expected completion date: Review conducted early 2013 University wide competency framework introduced in Spring 2013 PDPR. 2013 onwards: Promotions' criteria revised to include specific research activity performance indicators/standards.	

<p>Fellowships Strategy The University will implement its 2011 Fellowships Strategy and report progress to RB and RSG.</p> <p><i>Success indicators:</i> Increase in numbers of fellowship applications, internal and external applicants. Increase in conversion rate of applications to funded fellowships.</p>	FSWG	<p>ONGOING In 2011 the University developed a Fellowships Strategy and this is currently being implemented.</p> <p>Timeframe: Semester 2 2012 Extended to Semester 2, 2013</p> <p>Expected completion date: New models introduced semester 2, 2013.</p> <p>A new model for the Nottingham Research Fellowships and Anne McLaren Fellowships was adopted in 2012/13 and there are plans for this to continue moving forward. Changes are as follows:</p> <ul style="list-style-type: none"> • 3 year fellowship (increased from 2 years) • A grant of up to £75k per fellow to fund research costs • Linking each Fellowship to a permanent academic post, subject to a quality threshold. <p>In the first year of this model the cohort of Fellows recruited was at an extremely high level. It is too early to make any conclusions about longer term impact and this will continue to be monitored</p>	http://www.nottingham.ac.uk/research/fellowships/index.aspx
<p>Bridging funding The University should, where appropriate, monitor and share practices related to bridging funding.</p> <p><i>Success indicators:</i> Increased availability of bridging funding. Increase in quantity and quality of research outputs (papers, grants) resulting from bridging funding period and other scheme awards.</p>	Schools /Faculties	<p>ONGOING</p> <p>Timeframe: 2013-2015</p> <p>Expected completion date: annual schemes</p> <p>New and current schemes:</p> <ul style="list-style-type: none"> Bridging the Gaps funding: Semester 1, 2013 Bridging the Gaps: Next Generation Feasibility Award 2013 (semester 1 & 2 2013/2014) UNICAS-Graduate School sandpit and pump-prime funding (3 events and funding rounds 2013/14) 	

<p>Redeployment opportunities The University should monitor Research Staff engagement with redeployment processes and opportunities, and seek to increase uptake.</p> <p><i>Success indicators:</i> Year on year increase in applications for redeployment. Where appropriate the successful retention of staff through the redeployment process.</p>	HR	<p>ONGOING</p> <p>Take up of redeployment, by job family reported to <i>Ad-hoc</i> redundancy consultation committee quarterly. An annual report on the uptake of redeployment processes is included in published equality data.</p> <p>Monitor annually by RSG -first report to first meeting of RSG (October 2013). Annual item on RSG agenda with actions allocated as necessary.</p> <p>Timeframe: Monitor annually from 2012 Expected completion date: annual reporting</p>	http://www.nottingham.ac.uk/hr/guidesandsupport/redundancyandredeployment/index.aspx
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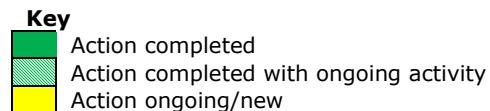
Principles 3 & 4: Support and Career Development

Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment. The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.

Action	Lead	Progress	Link to further information
Review development activities The University will undertake a review of its formal and informal development activities and provision for research staff against the RDF/RDS as part of its biennial analysis of the implementation of the Concordat.	GS	COMPLETED and ONGOING GS, CES, PD regularly review and evaluate all formal and informal development activities including their provision for research staff. The GS and CES have mapped their provision to the RDF and disseminate this as part of the Researcher Development Programme. Timeframe: 2011-15, continuing Expected completion date: RDF mapping completed Summer 2011 and annual review to ensure new opportunities are captured and changes in provision are addressed and reflected	http://www.nottingham.ac.uk/graduateschool/traininganddevelopment/index.aspx http://www.nottingham.ac.uk/researchstaff/leadershipprogrammeecr/index.aspx
Exit survey/data The University should consider implementing an exit survey/maintaining a record of the destinations of research staff to be used for: i. Monitoring and benchmarking research career paths; and ii. Promoting different career paths to researchers and their managers.	HR/R SG	COMPLETED Online exit survey currently offered to all staff. Due to the low number of staff who take this up, would provide minimal data on destinations. Timeframe: December 2011	
Promotion process The University should raise awareness of the promotions process for research staff and ensure that information on research only career pathways are transparent and accessible. The University will ensure that Research Staff who apply for promotion are provided with appropriate feedback.	HR	COMPLETED All University staff are notified of the promotions process and key dates annually through various media. Timeframe: annual	http://www.nottingham.ac.uk/hr/guidesandsupport/promotionandregarding/promotion/index.aspx
Monitoring promotion outcomes RSG to monitor promotion trends for Research Staff, through annually-commissioned HR report.	RSG	COMPLETED and ONGOING HR monitor promotion trends for Research Staff on an annual basis and produce a report for the RSG. Timeframe: annual	

<p>Mentoring scheme The RSG will consider the feedback from the recent pilot peer mentoring scheme and explore ways of engaging additional senior staff in formal mentoring arrangements.</p>	RSG	<p>COMPLETED and ONGOING RSG report that take-up at pilot scheme for peer-mentoring scheme was poor and assessment that peer-level mentoring doesn't meet requirements of the user. Mentor forums, not 1-to-1 mentoring, are being explored as an alternative offering for research staff. Timeframe: Pilot 2011-2012; mentor forums 2013-2015.</p>	
<p>Research managers' responsibilities in the Activity Performance Review (APR) process The RSG will recommend to the APR process that research managers and PIs should be expected to reflect formally on their role and responsibilities as part of the APR process.</p>	RSG	<p>COMPLETED The new PDPR process has a much stronger focus on professional and staff development than the previous APR system and provides resources and training to support researchers and their managers to incorporate this into their goals and working practices. Timeframe: 2012</p>	<p>http://www.nottingham.ac.uk/hr/guidesandsupport/performaceatwork/pdpr/pdpr-system.aspx https://training.nottingham.ac.uk/cbs-notts/Guests/GuestCourse.aspx?CourseRef=PDPRGS</p>
<p>Guidance for research managers The RSG recommend that research managers and principal investigators should be provided with guidance and advice to support them in their role.</p>	RSG	<p>COMPLETED and ONGOING Timeframe: Ongoing Expected completion date: Ongoing process facilitated through the Dean's Forum. The Dean's Forum is held several times per year.</p>	
<p>Specialised careers guidance The University should ensure that all Research Staff are made aware of the dedicated careers support and guidance available to them.</p>	CES	<p>COMPLETED and ONGOING A targeted marketing leaflet for Research Staff has been produced and is being distributed to Graduate Centres and Academic Schools and Departments. It is also available on Workspace for staff to download. Timeframe: Ongoing</p>	<p>http://www.nottingham.ac.uk/careers/research/index.aspx</p>
<p>Specialised careers guidance CES to maintain and report on monitoring and evaluation of their services for Research Staff .</p>	CES	<p>COMPLETED and ONGOING The take up of guidance appointments by Research Staff has increased year on year since 2010. An evaluation form specifically for Research Staff has been designed and will be used from the beginning of academic year 2012/13. Timeframe: Ongoing, annually</p>	<p>http://www.nottingham.ac.uk/careers/research/index.aspx</p>

			Expected completion date	
<p>Knowledge Exchange Framework Launch and implementation of the new Knowledge Exchange Framework highlighting the specific focus on research staff.</p> <p><i>Success indicators:</i> Recognition of framework by Research Staff and implementation by community. Measured through reporting by BEIS.</p>	BEIS/ RGS	<p>NEW Timeframe: 2013-15 Expected completion date: end of 2015. Report to be commissioned by RSG, semester 2, 2015</p>		

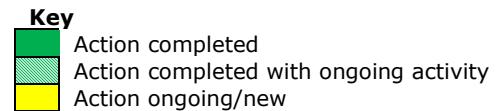


Principle 5: Researchers' responsibilities

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

Action	Lead	Progress	Link to further information
<p>Personal, professional and career development opportunities</p> <p>The University will continue to maintain a wide range of opportunities for research staff to undertake personal, professional and career development activities. These include: Research Staff Conference; fellowship opportunities; travel awards; workshops and training courses. The University will ensure that researchers and their managers are aware of these opportunities and their entitlement to participate.</p> <p><i>Success indicators: Delivery of workshops with positive feedback from participants</i></p>	GS	<p>COMPLETED and ONGOING</p> <p>The University provides support for a wide range of activities to encourage researchers to network and engage with potential employers and collaborators from different sectors both within the UK and internationally. These include dedicated sandpit and networking opportunities via The University of Nottingham Interdisciplinary Centre for Analytical Sciences, Annual Research Showcase, HERMES fellowships, Young Entrepreneurs Schemes, Building Experience and Skills Travel Scholarships and other mobility schemes, and a range of programmes and opportunities for public engagement.</p> <p>TIMEFRAME: Ongoing, annually Expected completion date: New series of Research Data Management workshops for researchers to commence in November 2013</p>	http://www.nottingham.ac.uk/researchstaff/research-staff-conference/index.aspx
<p>Cross institutional activities</p> <p>Expansion and development of the pilot Research leadership programme for Research Staff with Birmingham.</p> <p><i>Success indicators: Increased cohort size, promotion of scheme to under-represented disciplines with increase in numbers.</i></p>	RGS and PD	<p>NEW</p> <p>Timeframe: 2013 onwards Expected completion date: Extension of pilot scheme Summer /Autumn 2014</p>	

<p>Mobility schemes and opportunities Promotion of mobility schemes and opportunities at the University's international campuses/partners including the EU Co-fund scheme.</p> <p><i>Success indicators:</i> Introduction of additional activities promoting schemes (semester 2, annually) and increase in demand/applications for funds. Increased mobility of researchers.</p>	RGS	<p>ONGOING Timeframe: 2012 onwards</p> <p>Expected completion date: Publicity of schemes ongoing. Annual item on RSG agenda with actions allocated as necessary.</p>	
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Principle 6: Equality and Diversity

Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers

Action	Lead	Progress	Link to further information
Athena SWAN Award The University will continue to support the programme of Athena SWAN applications with a view to achieving institutional Silver award. <i>Success indicators:</i> Completion of action points in accordance with planned timescales. Building on and retention of silver award.	WinSET/ University Self- Assessment Team	COMPLETED and ONGOING The University was awarded an institutional Silver Award in November 2012. University Action Plan to be fully implemented. TIMEFRAME: April 2016 All STEMM Schools within the University will have applied for an Athena SWAN Award. TIMEFRAME: April 2014	http://www.nottingham.ac.uk/winset/index.aspx http://www.nottingham.ac.uk/winset/members.aspx http://www.nottingham.ac.uk/winset/athena-swan.aspx
Athena SWAN Bronze Award Implementation of the Athena SWAN Bronze action plan to be completed.	WinSET/HR	COMPLETED WinSET: Implementation of all the actions in the 2009 Bronze Action Plan have now been completed. TIMEFRAME: 2012	
Athena SWAN Bronze and Silver Award Individual school Athena SWAN Bronze and Silver action plans to be implemented.	Award holding schools	ONGOING Schools holding Bronze and Silver Awards are all on track with the implementation of their Action Plan. WinSET actively monitors all School Action Plans. Timeframe: Ongoing	http://www.nottingham.ac.uk/winset/successes.aspx
ALL STEMM Schools within the University to have applied for Athena Awards <i>Success indicators:</i> All STEMM schools to complete preparation for submission of application	School Self- Assessment Teams	NEW Timeframe: 2013-14 Expected completion date: April 2014	

Key

- Action completed
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Principle 7: Implementation and Review

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

Action	Lead	Progress	Link to further information
Careers in Research Online Survey (CROS) The University will participate in CROS 2013, in order to assess progress against CROS 2009 and benchmark against the rest of the Higher Education sector.	GS	COMPLETED The University participated in CROS 2013 and is currently analysing the results. The results, recommendations arising from them and any good practice identified via this channel will be reported by the RSG to Research Board and disseminated to individual researchers and their Schools/Faculties using a range of different communication mechanisms. TIMEFRAME: 2013	
European Commission HR Excellence in Research Award The University will undertake gap analyses and progress activities required to maintain the HR Excellence in Research Award. <i>Success indicators:</i> Timely completion of all actions in line with expected deadlines, identified through RSG commissioned reports. On-going identification of new and evolving actions to ensure changes in the research landscape are addressed and reflected.	RSG/RB/HR	ONGOING TIMEFRAME: 2011-2015 Expected completion date: Annual gap analysis, semester 2. Reporting by identified communities to RSG at meeting 2 annually	
Concordat implementation and evaluation The University will conduct a biennial survey of schools' practices in relation to the Concordat which will be used to: i. Monitor progress and developments at a local-level; ii. Identify and share good practice within the Institution.	RSG	COMPLETED and ONGOING Biennial survey: Last survey 2009, next to take place in 2012. 2009 RSG chair requested best practice and progress from Heads of School. It was recommended that the 2012 survey should request info on what has changed, also include survey to research staff. RGS also monitor feedback on implementation. Timeframe: 2011-15 Expected completion date: Next report commissioned for first RSG meeting 2014	

<p>Staff engagement survey The RSG will commission a report to analyse the research staff responses to the 2012 institutional staff engagement survey.</p>	<p>RSG</p>	<p>ONGOING Facts and figures requested by the RSG and analysis ongoing. Timeframe: 2012-2015 Expected completion date: Staff engagement survey report -Autumn 2013 CROS 2013 analysis and report -Spring 2014</p>	
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Key	Action completed
	Action completed with ongoing activity
	Action ongoing/new