University of Greenwich

Concordat to Support the Career Development of Researchers

Gap Analysis and Actions 2015 - 2017

**Introduction**

Greenwich is a worldwide community of over 40,000 scholars in 31 countries, and is based on three campuses, in Greenwich, Eltham and Medway. Its mission is "to inspire society through the discovery, application and dissemination of knowledge" and it has a rich heritage in innovations in teaching, learning, research and enterprise, with bold and imaginative plans to progress these inter-related activities yet further. The University recognises that the key element in achieving this is attracting and retaining staff of the highest quality, and a vital component in ensuring such retention is valuing staff in a number of demonstrable ways, including supporting their continuous professional development.
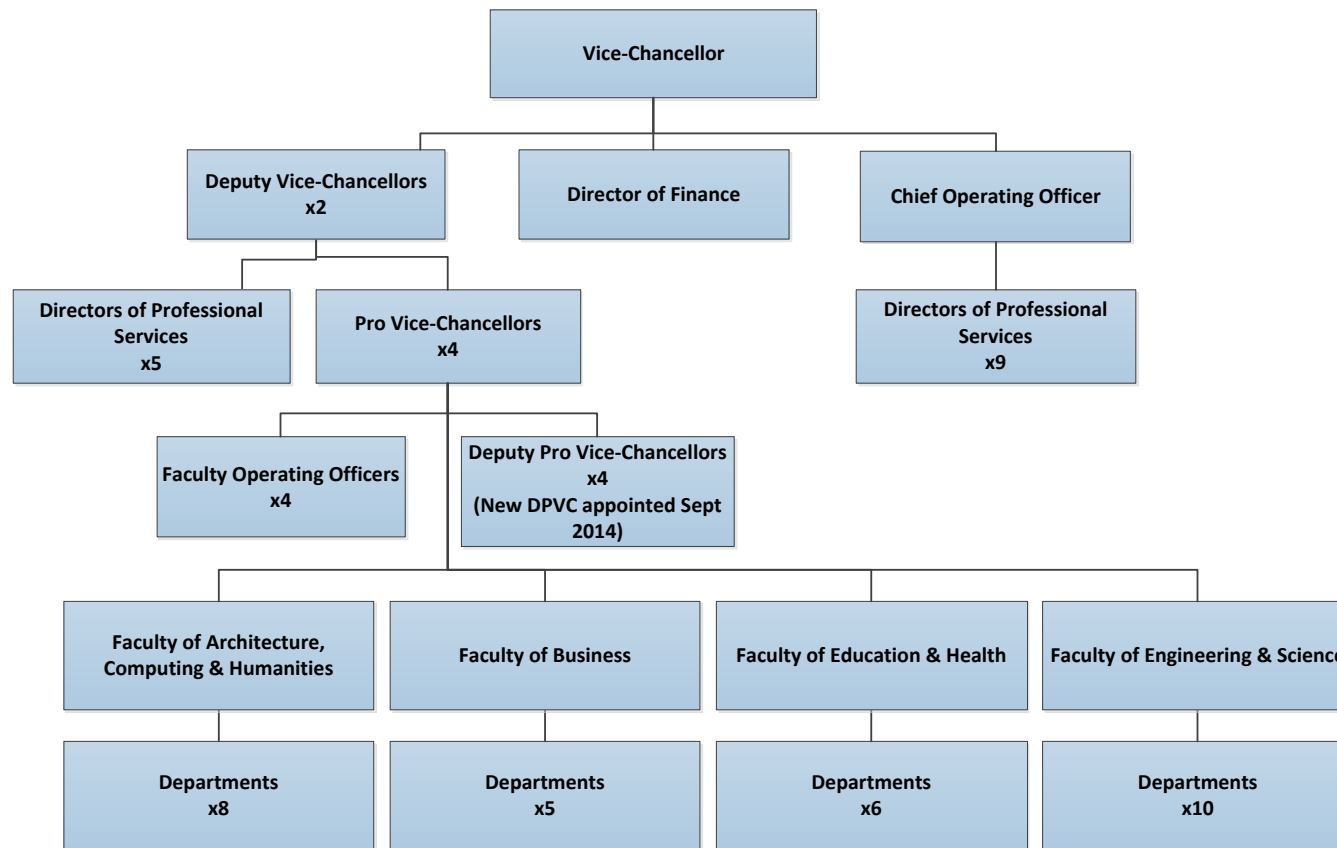
Organisational Context

The University's Strategic Plan 2012 – 17 (http://www.gre.ac.uk/governance/vc/strategic-plan-2012-2017) and associated KPIs, contains ambitious expectations to progress the research and enterprise agenda by increasing the proportion of academic staff who are research active (1* REF output per annum) to 75% and academic staff with internationally excellent research (at least one 3* or 4* REF output per annum) to 25%. Since the implementation of the new Strategic Plan, a new academic framework (with large Faculties and Departments) and refreshed models of governance and oversight was introduced in 2013-14. This process has involved significant change including a leaner University leadership framework and revised organisational structure. Each Faculty is led by a Pro Vice-Chancellor (PVC) supported by senior management posts including a Faculty Operating Officer. Professional and academic support services are organised by Directorates managed by a Chief Operating Officer (COO) (see Figures 1 and 2).

Figure 1: University of Greenwich Organisation Structure 2010-11
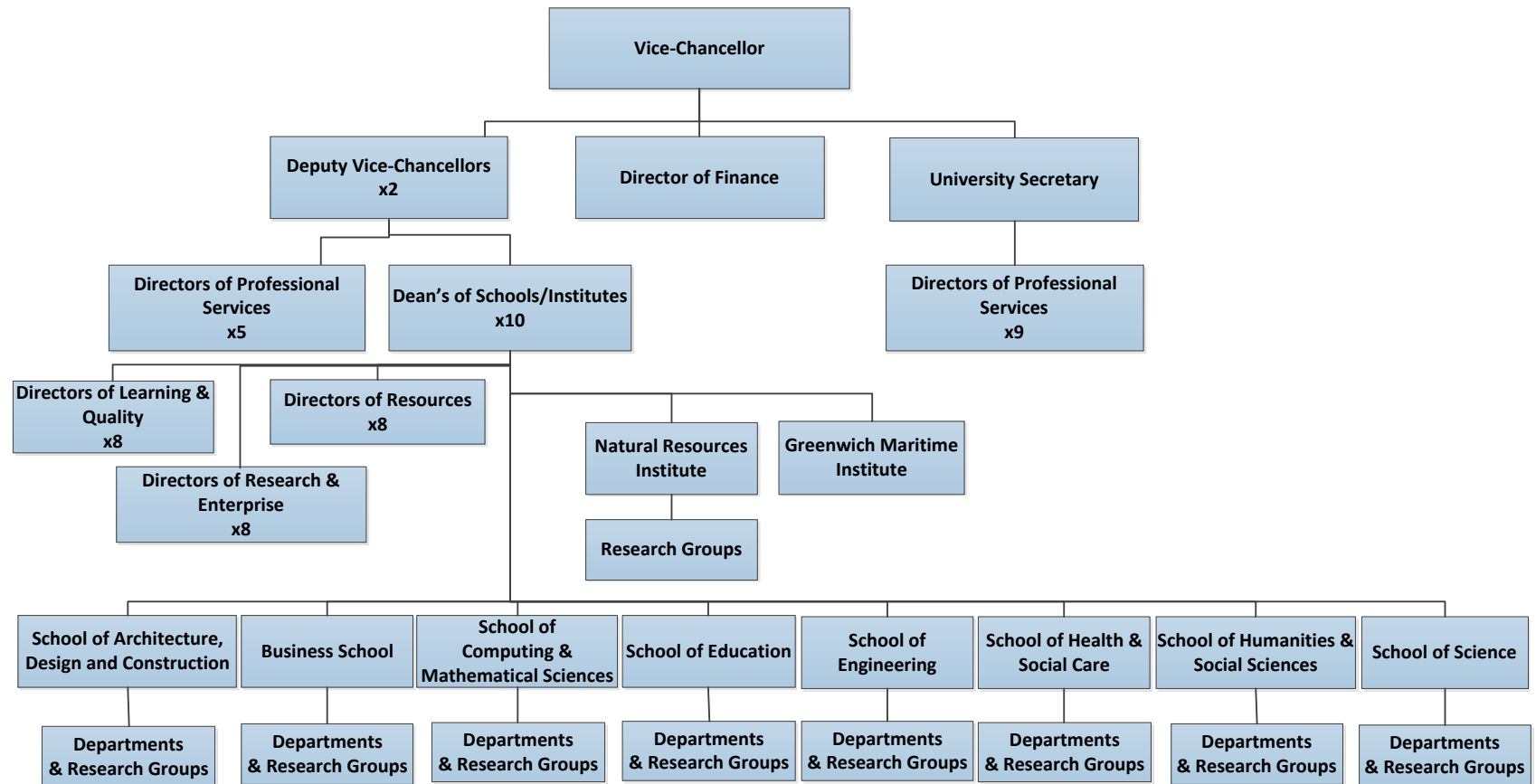
Figure 2: University of Greenwich Organisation Structure 2013-14

Figure note: this organisational structure encompasses Heads of Departments and Directors of; Collaborations (DoC), Learning & Teaching (DoLT), Research & Enterprise (DoRE) and Student Experience (DoSE)

Research and Enterprise

The research profile of the institution is diverse with research excellence found in a wide range of areas including the Natural Resources Institute, Computer Modelling and Health. The University has a growing reputation for research and enterprise, and has the highest income for research grants and contracts among post-1992 universities. 2014 has seen another win for the University with an annual Times Higher award for International Collaboration of the Year. This was for the Natural Resources Institute's work on developing the capacity of organisations and individuals to transform the perishable roots of the cassava crop into a high-quality flour that has multiple uses. The University now has nine Times Higher Education Awards, as well as three Queen's Anniversary Prizes for Higher & Further Education. Greenwich also won a Guardian University Award for Research Impact in 2014.

The University submitted its Athena SWAN Institutional Bronze application in November 2014. The University Athena SWAN Working Group (ASWG) was responsible for compiling the submission and has organised events to promote the Charter and inform staff involved about their responsibilities (http://www2.gre.ac.uk/research/support/athena-swan-charter). The ASWG instigated the formation of Departmental 'Champions' and 'Self-Assessment Teams' (SATs), comprising 4 – 6 representative staff from every department, both STEMM and non-STEMM, to engage the whole University in this organisational change and to embed positive values and behaviours at the base of the organisation. The University's involvement in Athena SWAN has fed into this Gap Analysis review, informing several of its proposed actions.

Concordat – Engagement, Implementation and Compliance

Greenwich is committed to engaging with the Concordat, and this document demonstrates that the University has made significant progress in addressing the principles forming the basis of the Concordat. This document forms a gap analysis and action plan, with associated timescales, for the University to achieve full compliance with the provisions of the Concordat.

Overall responsibility for the University's engagement, implementation and compliance of the Concordat rests with the University's Early Career Researcher Steering Group (ECRSG) – the composition of which is set out in section 7.1. The work of the ECRSG has the full support of the Vice-Chancellor's (Management) Group (VCG). At local level implementation and operation rests with academic Departments, Faculties and Researchers, assisted by ECR Ambassadors within each of the four Faculties. At University level Research and Enterprise Committee (R&EC), ECRSG, Greenwich Research and Enterprise (GRE) and Human Resources (HR) offices contribute as appropriate.

Note: The development of postgraduate research students is addressed by the Greenwich Postgraduate Researcher Programme (PGRDP), which has been developed to focus on the relevant levels of the Vitae Researcher Development Framework (RDF). This programme is administered by the Postgraduate Research Office (PGRO). The contents of this document does not include matters relating to the development of such students, since this aspect of activity is addressed and assessed through Institutional Audit under the provisions of the Quality Assurance Agency (QAA) UK Quality Code for Higher Education, Part B, Chapter B11: Research Degrees.

Glossary of Main Abbreviations and Acronyms

AP(E)L **A**ccredited **P**rior (**E**xperiential) **L**earning
ASWG **A**thena **S**WAN **W**orking **G**roup (University of Greenwich)
CPD **C**ontinuing **P**rofessional **D**evelopment
DVC (R&E) **D**eputy **V**ice-**C**hancellor, **R**esearch and **E**nterprise
ECRSG **E**arly **C**areer **R**esearcher **S**teering **G**roup (University of Greenwich)
EDU **E**ducational **D**evelopment **U**nit (University of Greenwich)
E&DC **E**quality and **D**iversity **C**ommittee (University of Greenwich)
GET **G**uidance and **E**mployability **T**eam
GOLD **G**reenwich **O**pportunities for **L**earning and **D**evelopment (University of Greenwich)
GRAP **G**rading **R**eview and **A**ssessment **P**rocedure
GRE **G**reenwich **R**esearch and **E**nterprise Office (University of Greenwich)
GREAT 2012 **G**reenwich **R**esearch **E**xcellence **A**ssessment **T**rial 2012
HEA **H**igher **E**ducation **A**cademy
HERA **H**igher **E**ducation **R**ole **A**nalysis (Educational Competences Consortium)
HEIDI **H**igher **E**ducation **I**nformation **D**atabase for **I**nstitutions (Higher Education Statistics Agency)
HR **H**uman **R**esources Office (University of Greenwich)
LGBT **L**esbian, **G**ay, **B**isexual and **T**ransgender
PDP **P**ersonal **D**evelopment **P**lan
PG Cert **P**ost**g**raduate **Cert**ificate in Higher Education
QAA **Q**uality **A**ssurance **A**gency
RDF **R**esearcher **D**evelopment **F**ramework (Vitae)
R&EC **R**esearch and **E**nterprise **C**ommittee
REF **R**esearch **E**xcellence **F**ramework 2014 (HEFCE)
SMART **S**pecific, **M**easurable, **A**chievable, **R**ealistic, **T**ime-bound objectives
TNA **T**raining **N**eeds **A**nalysis
UKRIO **U**nited **K**ingdom **R**esearch **I**ntegrity **O**ffice
VCG **V**ice-**C**hancellor's (Management) **G**roup (University of Greenwich)

Note: In each section the following coding is used to indicate the state of implementation and compliance with the provisions of the Concordat:
A = Achieved, **P** = Partly achieved - further action(s) required, **O** = Outstanding - action(s) to be initiated.

RECRUITMENT AND SELECTION

PRINCIPLE 1
Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research

	Clause, response and evidence for current compliance	Action / *Success measure*	Status	Lead	Timescale
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 University has clearly defined person specifications for all roles, including research posts. All posts are advertised and the usual recruitment guidelines apply to these posts. Recruitment and selection training is compulsory for all staff who wish to engage in such activities and has a dedicated web page (http://www.gre.ac.uk/__data/assets/pdf_file/0007/928960/Appointment-of-Staff-Regulations-January-2015.pdf). The Appointment of Staff Regulations (including recruitment guidelines) was updated in May 2014 and is available on the HR web pages (http://www.gre.ac.uk/__data/assets/pdf_file/0007/928960/Appointment-of-Staff-Regulations-July-2014.pdf).	No actions set	A	HR	
1.2	*Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.* The University's Appointment of Staff Regulations (http://www.gre.ac.uk/__data/assets/pdf_file/0007/928960/Appointment-of-Staff-Regulations-January-2015.pdf) reflect these principles through procedures relating to staff recruitment and selection, as well as the constitution of selection panels. The University moved to an e-Recruitment system in December 2011, and it explicitly requires a Job Description / Person Specification and selection criteria for each role. These are seen by the people involved in the recruitment process as well as the	No actions set	A	HR	

	applicants. Panel members shortlist on the basis of how the applicants have addressed the selection criteria. Recruitment and selection training is mandatory for all recruiting managers and panel members. Recruitment and selection has a dedicated web page (http://www.gre.ac.uk/offices/hr/staffdev/recruitment-and-selection).				
1.3	***Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.*** The University manages its fixed-term contracts consistently for all groups of staff in accordance with its Fixed Term Contracts and Externally Funded Appointments of a Limited Duration procedure (http://www.gre.ac.uk/__data/assets/pdf_file/0012/663978/Fixed-Term-Contracts-and-Appointments-of-Ltd-Duration-January-2015.pdf). The e-Recruitment system records the details of any external funding and the duration of the contract as well as the business case for any new fixed-term posts. Since the HR restructure in 2014, the University has improved the information made available to managers to support them in having the appropriate discussions and consultation with individuals on fixed term contracts in a timely manner. A structure of HR Business Partners is in place to provide face to face guidance to managers on a range of HR issues. The Business Partners have focussed on the area of fixed term contracts with managers, providing guidance and coaching on the use and management of staff on fixed term contracts. The University has agreed with Trade Union partners to review the use of fixed term contracts and the management practice in place relating to fixed term contracts. Guidance will be developed by the end of 2015 following this review. This will be strengthened by a further action set as part of the University's Athena SWAN submission which looks at the communication of the wider remit of HR policies and procedures (see section 6.8).	1. Prepare a guide for managers on good practice in managing staff on fixed-term contracts ***(guidance prepared, publicly available).*** 2. Establish reporting and analysis on the gendered nature of fixed-term contracts, to inform progression and succession planning, which will allow further investigation in this area ***(Reporting established, results used to inform action planning).***	P	HR ECR Steering Group Faculties	1. by December 2015 2. by September 2015
1.4	***To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent***	No actions set	A	HR	

	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. The University is an Equal Opportunities employer and the relevant recruitment and promotion policies and procedures reflect this. Please see section 1.2 for information on recruitment and selection. Promotion for research staff is currently managed through the University's Appointment to Professor and Reader Procedures (http://www.gre.ac.uk/__data/assets/pdf_file/0018/1033434/Professors-and-Readers-Appointments-Guidelines-October-2013.pdf) and Grading Review and Assessment Procedure (GRAP, http://www.gre.ac.uk/__data/assets/pdf_file/0008/664226/Grading-Review-and-Assessment-Procedure-January-2015.pdf). Those involved in the promotion and re-grading process are experienced senior academic staff as well as HR professionals with appropriate training. Unsuccessful candidates at recruitment, promotion or re-grading are provided with feedback on request following interview.				
1.5	*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.* The University adopted the single pay spine as part of the National Framework Agreement. Researchers are paid on the single pay spine with the appropriate grade being determined by the HERA job evaluation scheme. Also refer to section 1.2 regarding recruitment and selection section. (http://www.gre.ac.uk/__data/assets/pdf_file/0008/664226/Grading-Review-and-Assessment-Procedure-January-2015.pdf).	No actions set	A	HR	

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.

	Clause, response and evidence for current compliance	Action and *success measure*	Status	Lead	Timescale
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 does not differentiate in its provision of training and development opportunities between staff employed on fixed term contracts and staff employed on a contract which is on-going. Please refer to section 1.3 for information regarding the use of fixed-term contracts and the links to current procedures regarding appraisal (http://www.gre.ac.uk/__data/assets/pdf_file/0008/786689/Appraisal-Scheme-Guidance-Note-April-2013.pdf), redeployment, (http://www.gre.ac.uk/__data/assets/pdf_file/0007/664792/Staff-Redeployment-Policy-and-Procedure-January-2015.pdf) and partial fee exemption scheme for staff who wish to study for further qualifications (http://www.gre.ac.uk/__data/assets/pdf_file/0007/691504/Partial-Fee-Exemption-Scheme-2014-15.pdf).	No actions set	**A**	HR	
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 Negotiation Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.*	No actions set	A	HR	

	Refer to section 1.3 for information on how the University complies with the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002).				
2.3	***Research managers should be required to participate in active performance management, including career development guidance, and supervision of these 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.*** Refer to section 1.3 for information on how the University complies with the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002). The University has online and face-to-face equality and diversity training, including managing diversity. These are available through the institutional training programme (http://www.gre.ac.uk/offices/hr/staffdev refer to section 5.5 for more details) and induction (http://www.gre.ac.uk/offices/hr/new-employee-welcome-and-introduction-newi). The University requires all academic managers to undertake leadership training. In 2014, the University launched an annual leadership development programme for all academic leaders, designed and run in-house. It uses a blended methodology, including group learning days and online modules. GRE also launched a project management for research managers' course for those employed on, or leading internally or externally funded research projects. HR Business Partners are available to provide guidance and coaching to managers on a range of HR issues (see also section 1.3).	Design a programme of activities to enhance leadership and line management skills for academic leaders, to include awareness of unconscious bias and perceptions of leadership ***(Faculty and Professional Services to promote and host training provisions, all Faculties to engage in development opportunities).***	P	HR Faculties	by November 2015
2.4	***Organisation 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***	No actions set	A	HR	

	this objective. Refer to section 1.2 for details of the University's procedure on Fixed Term Contracts and Externally Funded Appointments of a Limited Duration and section 2.1 for details on the redeployment procedure.				
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.* The pay progression arrangements for researchers on the single pay spine (adopted as part of the National Framework Agreement) are the same as those for other staff groups on the single pay spine. Refer to the pay and grading structure for more information (http://www.gre.ac.uk/offices/hr/pay).	No actions set	A	HR	
2.6	*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.* The University is committed to realising the talent of our diverse workforce and thus recognises the need to develop our 'pipeline' by good succession planning, and by rewarding the achievement of academic excellence by staff in several ways. One of these is promotion to Reader or Professor through the University's Appointment to Professor and Reader Procedures (http://www.gre.ac.uk/__data/assets/pdf_file/0018/1033434/Professors-and-Readers-Appointments-Guidelines-October-2013.pdf). Progression at earlier career stages is possible through the annual Pay and Grading Review System (GRAP) – see section 1.4. A specific project on the design and implementation of academic and research career	Outlined at section 3.2	P	HR ECR Steering Group Faculties	

paths will be implemented by August 2016 in line with the University's HR Strategy and Athena SWAN Action Plan (see section 3.2).				

SUPPORT AND CAREER DEVELOPMENT **PRINCIPLE 3** **Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.**				
	Clause, response and evidence for current compliance	Action and *success measure*	Status	Lead	Timescale
3.1	*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, as potential stepping stones to permanent academic positions). This requires they provide career development which is comparable to, and competitive with, other employment sectors.* Personal and career development opportunities form an integral part of research focussed posts. Addressing such opportunities, and the individual researcher's responsibility to be proactive in this respect, begins with, and is built on, during the University's induction, mentoring and appraisal processes: (http://www.gre.ac.uk/offices/hr/new-staff), (http://www.gre.ac.uk/__data/assets/pdf_file/0006/664647/Mentors-Guidelines-July-2014.pdf) and (http://www.gre.ac.uk/__data/assets/pdf_file/0006/806028/Preparing-for-Appraisal-Moodle-access-instructions.pdf) As part of the induction activities, researchers should benchmark themselves against the Researcher Development Framework (RDF) – www.vitae.ac.uk/rdf - and line managers/supervisors support them to map out possible career pathways, and the skills, competences and attributes that are required to address these (see also section 3.6). Subsequent mentoring and appraisal sessions should refresh and update this process and assist in keeping options under review. In 2014 the researcher training provision offered by GRE was re-branded under the RDF header (http://www.gre.ac.uk/research/intranet/gre-office/researcher-	1. Establish reporting and analysis on gender participation in career development initiatives offered at the University by STEMM and Non-STEMM departments aligned to KPI reporting mechanisms *(Reporting cycle established, results used to inform areas of development).* 2. Continued development and promotion of career development materials for researchers, including: managers' toolkits, 'ECR Passbook', careers advice *(increased take up of Training & Development provisions).* 3. Explore extension of the careers advice service offered by the University and Reed NCFE to academic and	P	GRE HR ECR Steering Group	1. by August 2015 2. by August 2015 3. by December 2015

		research staff *(10% of researchers engaged in NCFE service).*			
	development/researcher-development-framework). Training offered at University has been mapped against the domains of the RDF to create a 'one-stop-shop' for staff engaged in RDF self-assessment. Courses booked were based upon feedback received from a Training Needs Analysis (TNA) survey undertaken by GRE in summer 2014 (response rate increased from last year by 40%). The TNA informed the development of career advancement materials for researchers, including: managers' toolkits, and an 'ECR Passbook' (a set of baseline courses designed to equip ECRs with the basic skills needed to undertake research). Consultation with Faculties has already resulted in approval by R&EC in December 2014 of a 'Researcher Development Pathway' – a career development tool which outlines frameworks to help Early Career Researchers (ECR), Mid-Career and Expert Researchers align themselves to University KPIs and the next REF (see section 3.2) The Guidance and Employability Team (GET) support staff with careers advice and skills enhancement (e.g. interview techniques) on an ad hoc basis. The GET Team work alongside experts from REED NCFE to offer a free graduate job brokerage service to help final-year students and recent graduates boost their career prospects by putting them in touch with a network of employers across commerce and industry (http://www2.gre.ac.uk/current-students/emp/get/reed-ncfe) beyond their discipline. An action has been proposed to explore extending this service to academic and research staff at the University.				
3.2	*A wide variety of career paths are 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 research careers and that all career pathways are equally valid.* The University has in place an appraisal system which is mandatory and provides an opportunity for discussion between managers and individuals about their contribution to meeting strategic expectations and the development and resources that can be made available to support them. It encourages the discussion of development appropriate to	Develop a specific project on the design and implementation of academic and research career paths in line with the University's HR Strategy and Athena SWAN Action Plan *(establish, promote and recognise promotions scheme).*	P	HR GRE Faculties	by August 2016

	support individuals in their roles and to develop their skills, knowledge and experience to equip them for future roles. Career management is also promoted through the Researcher Development Framework (RDF) (see section 3.1). In addition, all University posts are advertised internally to internal staff as a matter of policy. The University's Strategic Plan 2012 – 17 and associated KPIs, contains ambitious expectations to progress the research and enterprise agenda by increasing the proportion of academic staff who are research active (1* REF output per annum) to 75% and academic staff with internationally excellent research (at least one 3* or 4* REF output per annum) to 25%. In embedding the University's vision, discussions have taken place within the University to identify career pathways for research and research & teaching. A set of standard expectations at each level of those pathways have also been discussed to support the provision of development aligned to expectations and to support greater transparency within the University about what a research career looks like and what is expected at each level and for promotion through to Professorship. These discussions were suspended as the University underwent a restructure of its academic areas and put in place a new academic leadership who are crucial to ensuring that the career pathways are implemented. The discussions have resumed in 2015 with a view to finalising the pathways and implementing them by August 2016 in line with the University's Athena SWAN Action Plan and new HR Strategy. The University's current Appointment to Professors and Readers Guidelines will be used to inform the new career management structures, for example ECRs, Lecturers and Senior Lecturers. This will include a review of panels (e.g. equality and subject / method expertise) and an effective support infrastructure, including pre-application and post application constructive feedback.				
3.3	***Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in***	No actions set	A	HR GRE	

	both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competence and understanding to carry out a funded project, researchers also need to develop the communication and other professional development skills that they will need to be effective researchers and highly-skilled professionals in whatever field they choose to enter. The University recognises that the continuous development of its staff on the widest of fronts is key to its continued success, including the success of research projects. It is for this reason that considerable emphasis is placed on personal development, and the responsibility of individual members of staff, as professionals, in addressing this important matter on an on-going basis (see also section 5.5). With regard to research staff, the RDF acts as a valuable touch point for such staff in terms of the breadth of skills, competences and attributes that should be considered (refer to sections 3.1, 5.4 and 5.5). The University plays it part in such development through the delivery of an ongoing, broad based programme of generic, and more focussed research and enterprise specific development opportunities (refer to section 5.5). The University is responsive to the development needs identified by any groups of researchers, and has a developed a responsive mechanism to address such needs. This is evidenced by the inclusion of ECR staff in the University the focussed Early Career Researcher Network (see also section 6.4). Engagement with this initiative is over and above what such staff required to undertake for their duties, but enables them to take advantage of training and networking at the institutional level. Additionally, the University's annual appraisal system includes the dimension where academic Departments submit a summary of development needs identified, so that HR may respond accordingly.			
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.*	1. Departments to work with central research services (GRE) to analyse research activity and identify areas	P	GRE HR	1. by November 2015 2. by December

				ECR Steering Group	2015
Career management is currently addressed within the University's appraisal process and promoted through the RDF (see also sections 3.1 and 4.1). The new HR Strategy supporting the University's Strategic Plan 2012-17 will address the issue of career development for all groups of staff. Using the RDF as the starting point, a framework for the career management and development of research staff will be established. This will incorporate the development of coaching and mentoring networks across the University. Two female-only initiatives were established at the University in 2014: the Women's Professoriate Group (WPG) and The Leadership Foundation's *Aurora* programme. The WPG was set up to provide peer support and mentoring to other female colleagues who want to apply for the role of Reader or Professor. The group will host events for the whole University community with the aim of inspiring colleagues of both genders; raising the profile of the women's professoriate and establishing networking opportunities for those who aspire to readership/professorship. The University Chancellor, Baroness Scotland, has agreed to be the first invited speaker. *Aurora* is designed to enable women in academic and professional roles in higher education to engage with leadership development at early stages in their careers. There are 15 women participants in 2014-15: 5 from professional services and 10 from Faculties, including ECRs (http://www.gre.ac.uk/offices/hr/staffdev/aurora). A mentoring e-learning module is currently being piloted for the *Aurora* programme. Mentoring skills training is on the Learning and Talent Development programme each term (http://www.gre.ac.uk/__data/assets/pdf_file/0007/844819/Mentoring-Skills-October-2014.pdf) (see also section 4.5). Coaching is available centrally through external providers on demand, with limited internal coaching provision for some talent development initiatives and ad hoc requests. Faculties and Directorates may make their own arrangements in this regard.	where additional career support mechanisms may be required ***(GRE to conduct small survey and host informal focus groups, reporting back to Faculties, increased take up of research grant bidding activity).*** 2. Extend job shadowing scheme *Outside Insight* to research staff ***(scheme extended and piloted with at least 2 researchers in each Faculty).***				

	A job shadowing scheme *Outside Insight* is available for Administrative and Professional Services staff, and is planned to include research staff in 2014-15 academic year. The scheme is offered in conjunction with a number of other HEIs and provides a practical opportunity for sharing good practice as well as career and professional development, enabling participants to develop a wider appreciation of their field. The GET Team and REED NCFE provides final-year students and recent graduates independent careers advice. An action has been proposed to explore extending this service to academic and research staff at the University (see section 3.1).				
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 polices and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.*** Refer to sections 3.1, 3.2 and 3.4.	No actions set	A	HR	
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 mangers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous development.*** The University has a well-planned and comprehensive induction programme for all staff, where the organisation of the institution and the member's role in this are addressed, along with the main policies and procedures staff should be aware of relevant to their role (http://www.gre.ac.uk/offices/hr/new-employee-welcome-and-introduction-newi) Introduction of researcher-specific information was incorporated into the corporate New Employee Welcome and Introduction Programme (NEWI), which was launched in November 2013. 'NEWI' takes place once per term and involves a 'World Café' type	No actions set	A	HR GRE	

<table>
<tr>
<td colspan="2">approach with members of GRE present to give information on the support and training available to research staff, and answer any questions. Familiarisation with the RDF is now a mandatory part of local induction for academic staff and appears on the line managers' checklist (http://www.gre.ac.uk/__data/assets/excel_doc/0011/725978/Induction-Checklist-November-2014.xls). Attendance figures for NEWI are 2012-13 (68), 2013-14 (64) and 2014-15 to date (48).

Principals of *Every Researcher Counts* are embedded throughout the implementation of the RDF, including induction, and rolled out in a bespoke approach, developing different research communities within our new Faculty structures.

Additionally, as part of their professional responsibilities for assisting in the development of their staff, principal investigators and research managers are aware of the important role they play in facilitating professional development for research staff working within their own environment.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>**3.7**</td>
<td>*Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of a budget for a project, or to act as a mentor or advisor to other researchers and students.*

The development of project specific and generic research skills is articulated at both induction and appraisal, as is the responsibility of the individual researcher to address these matters. Additionally the RDF is highlighted as a guide to the range of skills, competences, attributes and levels researchers are expected to acquire as their careers progress (see sections 3.1, 5.4 and 5.5). Researchers are referred to appropriate RDF 'Lenses' in order that they can focus on key attributes they should develop, and are encouraged to be pro-active in seeking out opportunities where new skills and attributes can be practiced and honed.
Similarly, principal investigators are encouraged to present researchers with appropriate development opportunities and responsibilities when they arise within the course of their research projects, by building on both the strengths, as well as addressing the</td>
<td>No actions set</td>
<td>A</td>
<td>HR

GRE</td>
<td></td>
</tr>
</table>

	weaknesses of members of the research team. Further, the University encourages ECRs and those new to research at Greenwich to join supervisory teams for postgraduate research students. To facilitate this, the University delivers a stand-alone, mandatory professional development programme to assist staff in preparing to take on such responsibilities. Coverage of such development courses include: What is 'doctorateness'? Expectations of external bodies and their impact in shaping the environment we work in Recruitment and admissions processes Getting the student started How students learn Supporting and monitoring student progress Student skills development Quality assurance and enhancement Research integrity, intellectual property and exploitation of research. This professional development programme has been in operation since 2012 and sessions run twice per year with an average attendance of 15 per cohort.				
3.8	*Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.* Specific career development strategies for researchers are achieved as part of formal induction and appraisal processes (refer to section 3.6 and 4.1), and are included in the Balanced Academic Workload model for resources allocation.	No actions set	A	HR Faculties	
3.9	*Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, as far as is possible within the project. It should be stressed that developmental activity can often have a direct on the success of the project, by distributing work and 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 to a wider audience. Funding bodies*	No actions set	A	HR GRE Faculties	

acknowledge that training of researchers is a significant contribution to research output and they encourage employers to adopt these practices. The University recognises the valuable and individual roles played by members of staff comprising research teams, the importance of this to the productivity of such teams and the contribution this makes to the University's research endeavour as a whole. It is for these reasons such matters form an integral part of the induction, mentoring and appraisal processes. Also refer to sections 3.6, 4.1, 4.5 and 5.5				

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

	Clause, response and evidence for current compliance	Action and *success measure*	Status	Lead	Timescale
4.1	*Researchers should be empowered by having a realistic understanding of, and information about, their own career development 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.* The University's induction and appraisal processes are all-embracing in terms of introducing researchers to their roles and responsibilities, emphasising the importance of individuals (as professionals) taking responsibility for their own personal and career development, as well as discussing progress and barriers to such. Appraisal has dedicated web pages (http://www.gre.ac.uk/offices/hr/staffdev/appraisal), training events and an e-learning module linked to induction available through the staff portal: (http://www.gre.ac.uk/__data/assets/pdf_file/0006/806028/Preparing-for-Appraisal-Moodle-access-instructions.pdf). RDF information has been included into the University's appraisal guidance hosted on Moodle (http://moodle.gre.ac.uk/mod/resource/view.php?id=240297 – requires login) and managers' training. This includes instructions on self-assessment and information on staff development. Feedback from the University's Athena SWAN survey indicated that staff would like the University to improve the link between appraisal objectives and workload allocation, enhancing ownership and accountability in relation to appraisal objectives, and improving mechanisms for support and development emanating from appraisal. An action has been set to develop and enhance the appraisal process particularly at the level of operations/practice, for example by the provision of workshops where best	1. Develop and enhance the appraisal process particularly at the level of operations/practice, for example by the provision of workshops where best practice may be identified and shared *(enhancement to the appraisal procedure to be reviewed, refresh provision for staff appraisal training with at least 50% of STEMM staff completed training, staff sample to be assessed).* 2. Engage academic staff at various levels within their research careers from Early Career Researchers to Senior Researchers, in research and enterprise activities, this objective to be explored as part of the appraisal process. This will be harnessed by continuing promotion of the benefits of the RDF as a career planning tool – specifically	P	HR ASWG Faculties ECR Steering Group	1. by September 2015 2. by August 2017

	practice may be identified and shared. The University is also reviewing practice around the implementation of the Balanced Academic Workload tool (the outputs from this will form part of the appraisal discussion about workload allocation).	within the context of Athena SWAN and engaging women in STEMM subjects *(reporting system to capture research activities established, 10% increase on research revenues, integrate research data currently unmeasured, i.e. esteem, public engagement, Faculty committees engaged with agenda setting and reporting)*			
4.2	***Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.*** The University encourages new and existing research staff to engage in professional development in teaching and learning. In practice, engagement in teaching and learning activities is, as appropriate, discussed at appraisal, details of which are then finalised between the individual researcher, line manager and Head of Department. As such, preparation for academic practice takes a number of different formats at the Faculty/Institute level, for example, participation in: Teaching related activities, e.g. tutorials, laboratory support, support for lectures, delivery of subject specific lectures etc. Supervision of final year undergraduate and Masters' student projects Supervision of postgraduate research students Faculty Committees, i.e. Faculty Board, Faculty R&EC, Subject Assessment Panels, Progression and Awards Boards. For further information on formal professional development in teaching and learning refer to section 4.3.	No actions set	A	Faculties	

	The University recognises and accommodates different CPD schemes that researchers have been, or are required to follow. For example, some staff will be required to follow a different format as requirement of membership of specific professional bodies and learned societies. It is recognised that for researchers this is likely to become less of an issue with the gradual adoption of the of the pan-UK Researcher Development Framework (RDF) as the means of stimulating actions on PDP and CPD, and the associated log for recording engagement in such activities.				
4.3	*Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support will be provided.* In response to the 'Teaching Skills' element of Indicator 14 of Chapter B11 of the new QAA' UK Quality Code for Higher Education', the University has developed as stand-alone training programme for postgraduate students, where attendance is mandatory if no AP(E)L exists. This programme is delivered by the University's Educational Development Unit (EDU), successful completion of which goes part way to achieving Associate Fellowship status of the Higher Education Academy (HEA). The EDU runs a number of professional development programmes, which contribute to the training of staff in assessment and feedback, including the Postgraduate Certificate in Higher Education (PG Cert) for new staff, the HEA-accredited Greenwich Opportunities in Learning and Development Scheme (GOLD: http://www.gre.ac.uk/offices/edu/he/framework) for existing staff and the Postgraduate Teaching and Learning Course for research students. Any staff member who does more than 60 hours teaching (over one academic year) is automatically eligible for completion of PG Cert. Once completed, the staff member automatically gets HEA Fellowship. The course is also open to Research Assistants. As with postgraduate research students, the lead member academic staff responsible for the learning associated with the particular subject matter has the responsibility to provide appropriate support and monitor progress.	No actions set	A	Faculties EDU	

4.4	*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 have opportunities to engage in local policy setting, as well as inputting into operational matters at the Faculty level, for example as members of Faculty Boards or Faculty Research and Enterprise Committees. Further, Faculty Pro Vice Chancellors each appoint two members of staff (with research interests) to sit on the University's main Research and Enterprise Committee, which is the principal body within the University for discussing and setting research and enterprise strategy and related operational matters.	No actions set	A	Faculties DVC (R&E)	
4.5	*Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.* As an important component of staff induction, the University has an active scheme for mentoring new staff, which provides a vehicle for discussing needs surrounding career development: (http://www.gre.ac.uk/__data/assets/pdf_file/0008/664649/Mentoring-new-staff-January-2015.pdf). The mentoring of new staff at the University is aimed at pairing the new recruit with a more experienced member of academic or professional services staff. Mentors are currently allocated as part of specific development opportunities such as the GOLD Scheme and The Leadership Foundation's *Aurora* programme, which is designed to enable women in academic and professional roles in higher education to engage with leadership development at early stages in their careers (see section 3.4). The University is planning on expanding the mentoring opportunity to all staff groups in 2014-15, and is piloting the arrangements through the *Aurora* programme.	Review and improve existing mentoring programmes to ensure provision for all staff throughout the employment life cycle *(increase provision of mentors to 25% embedded within all Faculties)*	P	HR Faculties	by December 2015

	RESEARCHER'S 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.

	Clause, response and evidence for current compliance	Action and *success measure*	Status	Lead	Timescale
5.1	***Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.*** Advancement of knowledge underpins the University's Strategic Plan: (http://www.gre.ac.uk/strategicplan). All researchers are encouraged and supported to work with academic peers and colleagues, both within and external to the University, and ensure good conduct in their research. External collaboration and networking is actively encouraged, as exemplified by ECRs being supported through a dedicated travel bursary fund to attend international conferences to present their work, engage in networking and to seek out collaborative opportunities. As researchers progress their career, the emphasis is one of assisting them, and being proactive themselves in becoming increasingly independent and autonomous in outlook and operation and to develop potential for taking on leadership roles. The commitment to developing leadership skills in research is further evidenced by the University's engagement in working with Epigeum (www.epigeum.com) and an international group of selected universities on the development of an on-line educational programme on 'Professional Skills for Research Leaders'. A Moodle page hosts the Epigeum suite of e-learning courses which are mapped against the RDF domains (http://moodle.gre.ac.uk/course/view.php?id=29434 – login required). This will be launched at an RDF themed event in the spring. The emphasis on good conduct in research is exemplified by the University-wide Research and Enterprise Committee (R&EC) supporting the principles expressed in the	No actions set	A	DVC (R&E) HR GRE	

	UKRIO Code of Practice for Research, endorsed by the Committee in December 2010. Matters relating to research ethics are guided by the University's policy on this matter: (http://www.gre.ac.uk/research/rec) and is managed by the University Research Ethics Committee. For further information about research integrity refer to section 5.3.				
5.2	*Researchers should develop their ability to transfer and exploit knowledge 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.* The overall responsibility for knowledge transfer and exploitation arising out of research rests with the Deputy Vice Chancellor, Research and Enterprise - DVC (R&E). Operationally, this process is managed by the Director of Greenwich Research and Enterprise (GRE). In turn, GRE organises a wide programme of events and seminars to support to researchers to develop the necessary understanding and skills to engage in such activities. Additionally, as part of the knowledge transfer process, researchers are positively encouraged to disseminate the findings of their research in an honest and ethical manner in accordance with standard research practice, whilst, as applicable, observing any requirements for confidentiality as set out by the terms and conditions of sponsoring organisations. In relation to addressing the 'public awareness agenda', the University is committed to discharging its responsibility for disseminating to the community at large the benefits of its research and enterprise initiatives arising from public and private investment in such activities. This is evidenced by open lectures, professorial lectures (which are also open to the public), exhibitions, communicating through non-academic outlets: (http://www2.gre.ac.uk/about/news) and the 'What's on' pages: (http://www2.gre.ac.uk/about/whatson). As part of this process, the University also makes annual awards to Early Career Researchers who have excelled in advancing their research careers and in communicating the results of their work to a wider, lay audience (i.e. the ECR Research Excellence Award and the ECU Communicator Award). ECRs are also able to participate in media training workshops organised by the University's Public Relations Office to	No actions set	A		

help them to develop a media profile and effective communication style that will enable them to become more successful in knowledge transfer and public engagement opportunities. Since 2010, a number of researchers have received either financial or personal developmental support, which is primarily aimed at enhancing the researcher's profile. In recognition of a researcher's achievements and their direct or potential contributions to the University's research and enterprise portfolio, support has been awarded through a number of initiatives to date, including;
• 4 researchers have received the ECR Communicator Award
• 14 researchers have received the ECR Excellence Award
• 45 researchers have received funding of up to £900 per travel award
• 4 researchers have received funding of up to £600 per conference award
• 6 researchers were funded to attend external leadership programmes.

| 5.3 | ***Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge***

Researchers are positively encouraged to conduct research and disseminate their findings in an honest and ethical manner in accordance with standard research practice.

In part, this is addressed by sections 5.1 and 5.2 above. Additionally, the University was a founding member of the international group of universities that assisted in the formulation of the recently introduced Epigeum on-line educational programme on 'Research Integrity'.

Research Integrity is now available as part of the new suite of Epigeum e-learning courses. Completion of this module is now a mandatory part of local induction for academic staff and appears on the line managers' checklist (http://www.gre.ac.uk/__data/assets/excel_doc/0011/725978/Induction-Checklist-November-2014.xls). Staff have to complete this within their first three months of employment.

The University's new Research Integrity Policy will be presented to a future R&EC for | 1. Research Integrity Policy to be presented to a future R&EC for ratification *(policy approved and made publicly available)*.

2. Implement University Data Management Communication Plan *(Plan implemented, awareness raised)*. | P | GRE

University Secretary | Both by April 2015 |

	ratification. A Data Management Policy was approved by R&EC in October 2014. Its subsequent communication plan is being implemented in 2015.				
5.4	***Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position*** This is reflected through researchers' engagement with the RDF as a vehicle for considering future skills needs and requirements relating to researchers' personal career planning. Also refer to section 3.1 and 3.7. Additionally, this is a matter for consideration and discussion at appraisal. Guidance information on the RDF is outlined in the University's appraisal guidance and managers' training (see section 4.1).	No actions set	A		
5.5	***Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with tools to manage their careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.*** The University of Greenwich fully appreciates and values the vital role played by its staff in contributing to its success, and the role of research focussed staff in actively assisting the University to address its research strategy. Many research staff are members of professional bodies relevant to their discipline and interests where, as a condition for such membership, the responsibility for career development and associated training needs resting with the individual is clearly articulated. As such many research staff are already aware of and fully accept this responsibility. For those who are not, this is a major theme under the 'roles and responsibilities' aspect of staff induction and 'in service' appraisal, along with managers encouraging staff to attend appropriate subject specific and generic development	Reporting and encouragement of participation in annual conferences to ensure fairer representation *(monitor staff participation to conferences/networking events, data captured at departmental level and reported back to ECR Steering Group)*	A	HR Faculties ECR Steering Group	by August 2017

events. The University assists in providing a wide range of generic and research-specific development programmes, which may be enhanced by attendance at external events, subject to availability of appropriate funding.

The Human Resources Office offers a wide range of development opportunities for all staff. The Learning and Talent Development annual programme of events (http://www.gre.ac.uk/offices/hr/staffdev/l-and-d-programme) is informed by a Training Needs Analysis from the annual appraisal exercise. Topics include:
Management and Leadership
Compliance
Career Management and Development
Personal Skills Development
Project Management
Enhancing Performance.

The Greenwich Research and Enterprise (GRE) office organises more research and enterprise focussed training and development events specifically for research staff, covering areas such as:
Building a consultancy business
Communicating with industry
Entrepreneurship in the academic context
IP Policies and procedures
Working with the media
Social and economic return on investment
Research impact.

As mentioned in sections 3.1, 3.7 and 5.4, the RDF and associated tools/'lenses' is a vehicle for assisting research staff and academic researchers to reflect on and identify needs to develop skills, competences and expertise as relevant to the own personal needs and those relevant to their current and future roles at Greenwich or elsewhere. Courses offered by GRE are themed under the RDF Domains and provision has been expanded to incorporate the sub-domains of the RDF, such as specialised statistical analysis, social media (e.g. podcasts) and managing research teams.

| 5.6 | *Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.*

 As set out in earlier sections, PDP and CPD form essential parts of both the induction and annual 'in service' staff appraisal process. The RDF is the recommended vehicle for research staff and academic researchers to log their engagement in such personal development activities, although some may have requirements to do so in an alternative format as a condition of membership of relevant professional bodies and learned societies.

 RDF activity is recognised in the University's Balanced Academic Workload model under 'Research, Enterprise and Professional Practice' - which encompasses; externally and internally funded research activity, consultancy, knowledge transfer partnerships and short courses, and 'Service on behalf of the University' – which includes programme leadership and management roles, and supporting staff development. | Pilot the RDF online planner offered through Vitae *(engage at least five members of staff at different career stages from each Faculty).* | P | GRE

 Faculties | by July 2015 |

DIVERSITY AND EQUALITY

PRINCIPLE 6
Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers

	Clause, response and evidence for current compliance	Action and *success measure*	Status	Lead	Timescale
6.1	*The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of under-representation or lack of progression.* The University produces an annual equality information report (http://www.gre.ac.uk/offices/hr/e-and-d/reporting-and-monitoring) in relation to staff and students, where equality data is presented and analysed, and information is also provided on how the PSED is complied with. The University also publishes its equality objectives that address agreed corporate equality priorities (http://www.gre.ac.uk/__data/assets/pdf_file/0009/680175/Equality-Action-Plan-2012-2013-June-2012.pdf), The University will identify and progress specific actions related to equality issues in relation to researchers where appropriate. The University also undertakes Equality Impact Analysis (http://www.gre.ac.uk/offices/hr/e-and-d/equality-impact-analysis) of new policies, procedures, practices and important decisions to identify if they have an adverse impact on equality and persons with protected characteristics[1], as well as taking into consideration factors such as part-time working, fixed term status and caring responsibilities. The responsibility for monitoring falls within the remit of the Equality and Diversity Committee (E&DC), which reports directly to the University's Executive Committee. The terms of reference and minutes of the meetings for this Committee are	University and Faculty Research and Enterprise Strategies to recognise commitment for addressing equality and inclusion issues such as potential gender imbalances within the next REF *(Implementation of Research & Enterprise and Faculty Research Strategies).*	P	DVC R&E Faculty R&E Committee Senior Managers	by April 2015

---

[1] Age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation

	available at: (http://www.gre.ac.uk/offices/hr/e-and-d/reporting-and-monitoring) Also refer to section 6.9 relating to the University's Bullying and Harassment Policy.				
6.2	*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.* The University advertises on www.jobs.ac.uk for all external vacancies, as well as subject specific publications identified by the recruiting line manager, dependent on cost. As such, the University includes a diversity 'strapline' on its advertisements. The University is also accredited to use the Two Ticks symbol job adverts to show that we encourage applications from disabled people. The equality monitoring section of the application form is detached from the main application for HR statistical reporting purposes only. The University monitors staff workforce and recruitment equality data. The information is disaggregated by job category, including age, disability, gender and ethnicity levels within senior management, research and administration staff. The data can be found on the HR web pages (here). Disaggregation of equality data relating to Research staff was completed in the Equality Monitoring Report 2011-12 (http://www.gre.ac.uk/offices/hr/e-and-d/reporting-and-monitoring). Analysis of research staff by grade was undertaken as part of the University's Athena SWAN submission. Disaggregation was not completed at recruitment level and an action has been set within the Athena SWAN submission to address this. The University extended its monitoring of protected characteristics in relation to sexual orientation from the 2012-13 academic session (http://www.gre.ac.uk/offices/hr/e-and-d/reporting-and-monitoring). An action has been set to extend monitoring of the protected characteristics of gender reassignment, and religion and belief within staff	1. Establish reporting and analysis on recruitment data in relation to research staff, particularly in STEMM to non-STEMM subjects and demographic data *(Reporting cycle established, results used to inform action planning).* 2. Extend staff monitoring data collected within recruitment and workforce profiling to include the protected characteristics of gender reassignment, and religion and belief *(Data collected and reported to E&DC).*	P	HR (Equality and Diversity Champion) ECR Steering Group Faculties E&DC	1. by August 2015 2. by December 2015

	recruitment and workforce profiling, in order to better understand and meet the diverse needs of our employees.				
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.* Equality Impact Assessments were undertaken on the REF Codes of Practice, GREAT 2012 (mock exercise) and REF 2014 submission (http://www.gre.ac.uk/offices/hr/e-and-d/equality-impact-analysis/equality-impact-analysis-reports). The impact assessments involved an equality analysis and impact assessment of research staff who are eligible for submission to the REF, against actual submissions made. Several recommendations were made as a result of the final EIA, which were factored into the University's Athena SWAN submission and actions set in this section. In 2012, the University carried out an Employee Engagement Survey '*My University My Voice*' (http://www.gre.ac.uk/offices/hr/employee-engagement/my-university-my-voice). This provided the University with the opportunity to analyse anonymised data by Faculty / Directorate and highlight any equality issues and challenges. The '*My University My Voice'* survey was followed up in 2013 with a smaller survey on a key emerging theme – Communication. The next full survey is due in spring 2015. A survey was circulated to all academic staff in September 2014 as part of the Athena SWAN project to gauge feedback on staff experience and perceptions. The survey, which attracted a 49% response rate, was grouped around key themes including flexible working, career development and appraisal. Results of the survey can be grouped by Faculty, department, job role (etc) and has been shared with departmental self-assessment teams to identify issues and areas of good practice. Further guidance on protected characteristics is being developed to help managers support different groups throughout their career, for example, pregnant and nursing	1. GRE to work with Faculties and HR to identify the ways in which staff returning from maternity/paternity leave or long term illness could take advantage of the provision of support to develop their (research) careers, tailored to identify requirements, regardless of their work arrangements *(At least 80% of staff returning to work after long periods of absence has participated in return to work discussions, which includes identifying research activities as part of their work plan).* 2. Establish reporting and analysis on equality data in relation to research activities (e.g. publications, grants), public engagement, allowances and sabbaticals *(Reporting established to R&EC and E&DC).*	P	GRE HR ECR Steering Group	1. by April 2016 2. by April 2015

	mothers, time off for religious observance (see section 6.8). Principals of *Every Researcher Counts* are embedded throughout the implementation of researcher development activities and rolled out in a bespoke approach, developing different research communities within our new Faculty structures.				
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.* There are two levels of induction for new staff; at local Department / Directorate level with the individual's line manager, and at corporate level with a blended online and face-to-face approach. The corporate induction sessions includes an introduction to the HR Office and the online 'Equality and Diversity Essentials' training that all new employees are required to complete within three months of starting in post. This, along with the local induction, aims to give new staff information on our policies and commitments, key contacts and how to access support. The University operates a [Flexible Working Policy](), which outlines the right to request time off for work for members of staff who are parents or carers and covers any member of staff who has worked continuously for 26 weeks. There is also guidance for managers ([http://www.gre.ac.uk/__data/assets/pdf_file/0009/663930/Flexible-Working-Guidance-for-Managers-January-2015.pdf]()) on flexible working available on the HR web pages. Maternity, Paternity, Parental and other leave policies are also available to staff at the University ([http://www.gre.ac.uk/__data/assets/pdf_file/0005/664664/Parental-Leave-Guidelines-March-2013.pdf]()). The University will update its policy on shared parental leave in accordance with legislative changes in April 2015. Specific guidance for	Implement monitoring mechanisms within departments / faculties / the University to identify return rates from parental leave and flexible working requests *(Effective reporting and positive feedback from staff returnees).*	P	HR Faculties	by August 2015

	researchers will be made available on parental leave and related HR policies. This will be developed in conjunction with the action under section 6.8. To celebrate the successful integration of the University's ECR Initiative, the forum has been rebranded as the Early Career Researcher Network, to reflect its formalised position within the University, with revised Terms of Reference. The Early Career Researcher Steering Group (ECRSG) oversees the strategy for ECRs across the University. The composition of the ECR Steering Group is set out in section 7.1. The purpose of the Network is to bring a sense of community between ECRs across disciplines and campuses. Faculty ECR Ambassadors (4) have been elected by their Pro Vice-Chancellors / Heads of Department to engage with the ECRSG in presenting the needs of Early Career Researchers, and be proactive in stimulating activities and participation to the ECR Network. GRE are informed by HR when new Early Career Researchers (ECRs) join the University and these staff are included in the Greenwich ECR Network.				
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.*** As set out in section 6.4, the University operates a Flexible Working Policy, which outlines the right to request time off for work for members of staff who are parents or carers and covers any member of staff who has worked continuously for 26 weeks. There is guidance for managers on flexible working.	No actions set	A	HR Faculties	
6.6	***Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.*** The University receives funding from all major funders of research, including, UK Research Councils, EU(FP7), Technology Strategy Board, as well as charitable bodies such as the Leverhulme Trust, who each have established and well-recognised policies	No actions set	A	Faculties HR (Equality and Diversity Champion)	

<table>
<tr>
<td colspan="2">and procedures for ensuring equality of access to funding, and provision for extending grants/further funding to accommodate parental leave. The Research Councils UK, for example, places conditions on funding, referring specifically to Equal Opportunities. The University also distributes its own funding to develop new lines of research, underpin research capacity, and support Early Career Researchers. This is through a combination of open competition and formulaic allocations, mirroring the methodology used by HEFCE. The University administers this funding in the same way as it would any external funding.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.7</td>
<td>*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.*

The University's Equality and Diversity Policy Statement outlines our commitment to create an environment in which both students and staff are selected and treated solely on the basis of their merits, abilities and potential. The University's Equality and Diversity Committee is responsible for reviewing reports, policies and initiatives and reports directly to the University Executive Committee. Also refer to section 6.1.

The University operates a Disability Forum for staff to discuss disability topics and issues, which meets at least once per term. The University has also formally set up a Lesbian, Gay, Bisexual and Trans (LGBT) Staff Network (http://www.gre.ac.uk/offices/hr/e-and-d/lgbt-staff-network) as part of membership of the Stonewall Diversity Champions Programme, and this also provides key evidence that the University provides to Stonewall for their annual Workplace Equality Index. The University monitors staff workforce and recruitment equality data. The information is disaggregated by job category, including gender and ethnicity levels within senior</td>
<td>1. Reporting of promotions to be analysed annually by equality characteristics, including gender and STEMM and non-STEMM departments *(HR reporting into Executive Committee, establish and confirm reporting cycle).*

2. Utilise equality benchmarking data against peer institutions within annual equality monitoring report *(HEIDI tool / ECU data utilised and included in report. Findings reported to E&DC).*</td>
<td>P</td>
<td>HR

GRE</td>
<td>1. by August 2015

2. by November 2016</td>
</tr>
</table>

management, research and administration staff. The data can be found on the HR web pages here. As set out in section 6.2, equality data of research staff is not currently disaggregated at recruitment levels and a specific action has been set to address this.

Promotion applications and success rates made through the Grading Review Assessment Procedure (GRAP) and Appointment to Professors and Readers Procedure (see section 1.5 and 2.6) are monitored by equality strand. Monitoring for researchers has not yet occurred within our existing promotion schemes, but will be addressed through a specific action within the Athena SWAN submission (outlined).

Identifying what is 'representative' could be achieved by benchmarking equality data against other similar size and placed institutions, for example through the HEIDI tool or using Equality Challenge Unit (ECU) data. Benchmarking data is not currently included within the University's annual equality reporting mechanism and a specific action has been set to address this. ECU benchmarking data has been used within the University's Athena SWAN submission, and will be used further within Departmental Athena SWAN submissions.

The University's Equality Action Plan includes a specific section on University Governance, which is reviewed annually at Equality and Diversity Committee. Specific actions include ensuring 80% of members of Court complete the online 'Equality and Diversity Essentials' course. The requirements of the Committee of University Chairs (CUC) 'Higher Education Code of Governance' will inform the governance structure and activity which emerges from a proposed internal *Review of Governance* being considered by University Court in November 2014. This will include consideration of equality and diversity across the range of University activities, including membership of the Court itself.

6.8	*Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly*	Work with managers to develop their understanding of HR policies including for example flexible working, child care vouchers, and to share best practice regarding	P	Faculties HR (Equality and Diversity Champion)	by August 2016

		managing diverse and busy lives *(Increased awareness by diverse methods of communication; HR newsletters, one-to-one, mentors, portal and website. Specific information for researchers available e.g. fixed term contracts).*			
	disadvantage such groups. Staff are encouraged to speak to their line managers to agree local arrangements and discuss support needed in the first instance. They can then follow this up with HR, for example, for formal flexible working requests, time off for dependent care or implementation of reasonable adjustments. Also refer to sections 6.4 and 6.5 relating to flexible working. Information on staff disability support is available on the University HR pages (http://www.gre.ac.uk/offices/hr/ere/e-and-d/disability). The University has held the 'Two-Ticks' accreditation from Jobcentre Plus since 2012. This is a government led initiative which allows organisations to demonstrate their commitment to attracting and retaining disabled staff. The University conducts equality impact analyses against new policies and completes periodic reviews of existing policies to ensure equality and fair treatment. An equality impact assessment screening of all HR policies was undertaken in August 2012 to identify areas where any further assessment is needed. The University assesses staff on criteria relevant for the post to which they are applying. In relation to those for whom English is not their first language, support is made available where necessary, and can be raised through their probation meetings or with their line manager. Criteria relating to communication skills are outlined in advertised job descriptions and are based solely on the requirements of the post. Results from the University's Athena Swan Survey in September 2014 indicate that substantial sections of the workforce have poor awareness of HR policies and procedures, and that there is a training gap (e.g. 41% of respondents were not aware of the University's Flexible Working Policy). An action has been set as part of the Athena SWAN project to address this, particularly focusing on managers.				
6.9	***All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed***	No actions set	A	HR (Equality and Diversity	

					Champion)	
	without adversely affecting the careers of innocent parties. A new Bullying and Harassment Policy for Staff and Students was approved by University Court in November 2012 (http://www.gre.ac.uk/__data/assets/pdf_file/0006/748608/Bullying-and-Harassment-Policy-January-2015.pdf). This new joint policy covers both staff and student bullying and harassment issues, and offers clear processes for the investigation and resolution of bullying and harassment cases. The University's two support networks – Listening Ears (for students) and Bullying and Harassment Advisers (for staff) – were merged as a joint staff and student facing service called Listening Ears in June 2012 (http://www.gre.ac.uk/offices/hr/e-and-d/LE). Listening Ears are trained staff volunteers who offer informal and confidential support for issues relating to welfare, equality and diversity, and bullying and harassment. They help staff and students identify ways of resolving issues informally and offer signposting to other services. The provision is managed centrally by HR and meetings for Listening Ears are held once per term, with training offered at least once per academic year.					
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.* As part of our commitment to the advancement of equality across the protected characteristics, the University has been awarded Two-Ticks accreditation and a member of the Stonewall Diversity Champions Programme, promoting it as an employer of choice for Lesbian, Gay and Bisexual (LGB) and disabled staff. The University will not be pursuing accreditation under the Institute of Physics Juno Project scheme, since it does not offer physics as a stand-alone academic discipline. The University submitted its Athena SWAN Institutional Bronze application in November 2014. The University Athena SWAN Working Group (ASWG) has been responsible for compiling the submission and has organised events to promote the	Establish a schedule for departments to prepare for Athena SWAN submission awards to ensure all STEMM departments have submitted by 2017 *(Submission of at least two Athena SWAN Bronze Departmental Award applications across Faculties at each application round).*	P	GRE Faculties	by August 2017	

Charter and inform staff involved about their responsibilities (http://www2.gre.ac.uk/research/support/athena-swan-charter). The ASWG held its inaugural meeting in early 2014. It has focused on evaluating data, identifying good practice and issues for action across the institution. There are 17 members of the ASWG, 12 (70.6%) female and 5 (29.4%) male. There are 4 professional support and 13 academic staff on the group, of whom 10 are from STEMM backgrounds; 9 (31%) of the University's 29 departments are represented on the ASWG. The ASWG instigated the formation of Departmental 'Champions' and 'Self-Assessment Teams' (SATs), comprising 4 – 6 representative staff from every department, both STEMM and non-STEMM, to engage the whole University in this organisational change. Champions are the lead point of contact for Athena SWAN within their department and, together with the SATs, are responsible for reviewing quantitative and qualitative data, suggesting initiatives and actions to improve the representation of women, and supporting Heads of Departments (HoDs) with planning and implementation. The aim is to embed positive values and behaviours at the base of the organisation. This will continue post-submission to ensure the University will be ready to develop departmental award applications, not only for Athena SWAN, but also for Gender Equality Marks within Arts and Humanities.				

IMPLEMENTATION AND REVIEW **PRINCIPLE 7** **The sector and stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.**					
	Clause, response and evidence for current compliance	Action and *success measure*	Status	Lead	Timescale
7.1	*The implementation of the Concordat's principles will lead to greater integration of researchers into 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.* The University supports the intention and implementation of the Concordat. The primary body within the University leading on implementation is the University's Early Career Researcher Steering Group (ECRSG). This body has the full support of the Vice-Chancellor's (Management) Group - VCG - in its workings towards ensuring compliance across the University. The Group reports to the Research and Enterprise Committee (R&EC). The composition of the ECRSG is: Director of Research & Enterprise for Education & Health and Director of the Greenwich Early Career Researcher Network (Chair), Director of Greenwich Research and Enterprise, Director of Human Resources, Director of Postgraduate Research, Postgraduate Research Office Manager, Research Support Manager, Researcher Development Manager, ECR Ambassador in each of the four Faculties (4). The ECRSG is informed by the principles of the Concordat and supports the University's commitment to retain the HR Excellence in Research Award, which is outlined within its Terms of Reference. At local level implementation and operation rests with academic Departments, Faculties and Researchers, assisted by ECR Ambassadors within each of the four Faculties. At University level R&EC, ECRSG, Greenwich Research and Enterprise	No actions set	A	Chair, ECRSG	Review at termly ECRSG meetings

42

	(GRE) and Human Resources (HR) offices contribute as appropriate. The ECRSG has been responsible for producing the two-year review - a process that has involved consultation with: R&EC (a strategic group reporting to Academic Council that includes the Directors of Research of each of the University's four academic Faculties, along with Early Career Researcher representation), ASWG (a group involving both early career and senior academics, see also section 6.10), Academic and Research staff (involving all-staff and individual consultation with Pro Vice-Chancellors and Faculty staff through surveys, facilitated sessions and face-to-face meetings to identify issues, areas of good practice and inform on-going researcher development activities).				
7.2	*The signatories agree:* *a. to constitute a steering group an independent chair to oversee the implementation and review of the Concordat with appropriate representation of funders and sector bodies including the Professional Institutions. This group will be 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 sector* *c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.* *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).* *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 inside the HE sector)* a. As set out in section 7.1, the University has assigned responsibility for monitoring and implementation of the Concordat to the University's Early Career Researcher Steering Group (ECRSG). b. At the request of Universities UK (March 2010), the University responded to a	Actions: 7.2.b) Utilise benchmarking data to inform the ongoing Concordat implementation reviews *(Vitae report reviewed by ECRSG, data used to inform development activities).* 7.2.d) Research staff to engage with CROS and PIRLS at the next available opportunity *(10% increase on response rate to both surveys).* 7.2.e) University to participate in implementation reviews led in line with expectations of Vitae *(reports reviewed by ECRSG and submitted to*	a) A b) P c) A d) P e) P	Chair, ECRSG	Review at termly ECRSG meetings b) by December 2015 d) Next CROS and PIRLS e) Date set by Vitae

	questionnaire about the implementation and other matters relating to the Concordat. The University has not conducted an independent benchmarking study since its last submission. The ECRSG will engage with the '*Three-year Review of the Implementation of the Principles of the Concordat to Support the Career Development of Researchers*' report (published by Vitae in March 2012) to inform its ongoing internal review process. c. The University will support the costs associated with the internal implementation of the Concordat. d. The Careers in Research Online Survey (CROS) and Principal Investigators and Research Leaders Survey (PIRLS) were circulated in 2013 and their results have helped inform the support and training offered by GRE. Response rates were 30%[2] for CROS and 45%[3] for PIRLS. e. The University will engage with the major review on progress with implementation in accordance with the latest expectations of Vitae.	*Vitae).*			
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.*** The University will strive to implement the Concordat irrespective of the sources of funding of project grants.	No actions set	A	DVC (R&E)	Review at termly ECRSG meetings
7.4	***The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.***	No actions set	A	DVC (R&E)	Review at termly ECRSG meetings

---

[2] CROS response rate calculated using staff in the 'Researcher / Research Fellow' job category in 2012 - 13

[3] PIRLS response rate calculated using staff in the 'Professor / Research Group Director' job category in 2012 - 13

	The University supports the work of Vitae in developing the careers of researchers, as evidenced by the University's adoption of the RDF as a reference point for the career development of researchers and engaging with Vitae in related areas of activity.				
7.5	***Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.*** As mentioned in sections 6.1 and 6.7, the University monitors equality and diversity indicators, using, where possible, existing mechanisms for data collection. The University's recent Athena SWAN submission also provided useful source of data for benchmarking and monitoring purposes. It is recognised that, over time, there may be a need to collect relevant information by different means.	No actions set	A	HR (Equality and Diversity Champion) ASWG ECRSG	Review at termly ECRSG meetings