

ROYAL HOLLOWAY UNIVERSITY OF LONDON

HR EXCELLENCE IN RESEARCH

Institutional Statement

Royal Holloway, University of London, is ranked in the top 20 of all UK universities (The Times and Sunday Times Good University Guide 2020), and was ranked 26th for GPA in the REF 2014. We have a reputation for world-class, agenda-setting research and high quality teaching where students learn and grow as individuals to achieve their highest potential. Based in Egham, Surrey, the College has approximately 1600 established members of staff in addition to casual staff and visiting teachers.

Like many other higher education institutions, the College is facing a number of challenges, including:

- Ensuring **sustainability** whilst public funding is decreasing and competitiveness is increasing. The College recently fulfilled the aim of its strategic plan to increase student numbers from 9,400 to 10,500 by 2020.
- Improving **graduate employability**, which is a key comparison factor between Royal Holloway and competitor institutions.
- Improving the quality of the total **student experience** to ensure student satisfaction especially in the context of the cost of living and tuition fees.
- The implications of **Brexit**, which holds uncertainty for EU staff, students and research funding streams.
- Strengthening knowledge and **innovation** as drivers of growth.

For the purposes of our application to HR Excellence in Research, we identify all academic and research staff as our target audience, regardless of contract length or type. This includes the following:

Job Title	Number of staff
Professors (teaching and research)	235
Readers (teaching and research)	67
Senior Lecturers (teaching and research)	128
Lecturers (teaching and research)	114
Post-doctoral researchers	149
TOTAL	693

The College defines researchers as individuals who are employed to conduct research or scholarship and who would be expected to develop their research identity as part of their career progression. This includes staff on research only, teaching and research or teaching-focused contracts, professional support staff and technicians, regardless of contract type, level of training, experience and responsibility. It also includes staff with different career expectations and intentions.

We see our Early Career Researchers as a key priority group for career development support. We have a broad and inclusive definition of Early Career Researcher (ECR) for the purposes of HR Excellence in Research, which is “all contract researchers, all lecturers, teaching fellows and senior teaching fellows and all those who feel they are an early career researcher”. This enables us to identify and support individuals with the potential and ambition to achieve research excellence, whatever their current position.

This application for HR Excellence in Research has been developed by a working group specifically set up for the purpose. Chaired by the Director of Human Resources it includes representation from both senior and early career research staff, as well as Professional Services staff with a specific role in supporting the career development of researchers. The membership of the group includes:

Associate Dean for Research – Faculty of Management, Economics and Law
Associate Dean for Research – Faculty of Arts and Social Sciences
Associate Dean for Research – Faculty of Science
Early Career Researcher – Faculty of Management, Economics and Law
Early Career Researcher – Faculty of Arts and Social Sciences
Early Career Researcher – Faculty of Science
Director of Research and Innovation
Head of Research Services
Head of Educational Development
Head of Internal Communications
Head of HR Operations
Head of Organisational Development and Diversity

The working group has undertaken consultation with research staff and following this it has developed the gap analysis and action produced in this application. It has reported on progress regularly to the College's Executive Board.

Moving forward, the Working Group will continue to oversee the delivery of the action plan. During the summer of 2019 the College has moved from a three faculty structure into a six school structure. As a result membership of the working group will move from the Associate Deans for Research to new school-level Directors of Research. This will ensure that the initiatives described within the action plan are integrated with the College's research strategy and development and also implemented at School level.

Gap Analysis

The inclusion of both research and professional services staff has ensured that the gap analysis was conducted taking into account the voice of our research staff alongside a variety of professional expertise and viewpoints. The Careers in Research Online Survey (CROS) was run in June/July 2019 in order to ensure effective wider consultation with research staff. We received 137 responses to this survey, representing 19.8% of the staff population described above. The data was divided into staff at different career stages – 0-5 years, 6-10 years and more than 10 years - in order to identify trends and patterns in responses. The data provided by staff on fixed term contracts was also specifically analysed. We recognise that the response rate will impact on the reliability of the data as a true representation of the views of research staff. However, it has provided a significant guide for the gap analysis process.

Actions and priorities were identified in September 2019 by the working group. This followed discussion of the policies and practices already in place at the College which support our compliance to the principles of the Concordat to Support the Career Development of Researchers, and comparison with the results of the CROS. The action plan has been approved by the College's Executive Board. Monitoring of actions will be undertaken by the working group on a termly basis, and progress reports will be provided to the Executive Board biannually.

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Gap analysis to support the implementation of the Concordat to Support the Career Development of Researchers

A: RECRUITMENT AND SELECTION

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

- 1 All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution
- 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
- 3 Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason
- 4 To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.
- 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.

Evidence for Current Compliance

At Royal Holloway, researchers are recruited primarily for their ability to advance research at the College. Excellence and creativity are embedded in our College Values, and our Research Expectations Policy identifies our aspirations to achieve the highest academic values and enable academics to fulfil their potential. It outlines how ambitious, high-quality research and research impact might be supported and rewarded.

Our current recruitment guidelines specify that role descriptions and person specifications should outline key duties and responsibilities for all roles, and this includes responsibilities for advancing research. The guidelines also require key skills, experience and qualifications to be clearly articulated for each post. Generic role descriptions and person specifications are available for academic roles from lecturer level onwards and we are working on putting together similar role descriptions for research staff. Our online recruitment system, Stonefish, enables candidates to respond to the specific requirements of the post, and for each candidate to be assessed in the same way for shortlisting. Unsuccessful applicants are given appropriate feedback if they request this.

Our Equality and Diversity statement demonstrates our commitment in this area, and it is reflected in our Equality & Diversity Scheme 2018 - 2021. The College holds institutional level bronze awards in both Athena Swan and the Race Equality Charter Mark. Our previous Recruitment and Selection guidelines recommended that all recruitment panels included at least one male and one female member, and that at least the panel chair has received mandatory training. This has recently been updated to state that training in both recruitment & selection and unconscious bias is mandatory for all managers and panel members. The College is currently working to ensure all have received this training by July 2021. Equality and Diversity on-line training is mandatory for all staff.

To ensure fairness, consistency and the best assessment of the candidates' potential in the academic promotion process, a number of measures were introduced in 2015 to help minimise the potential for unconscious bias. This included anonymising all applications and having them considered at Faculty level rather than at department level. This has had a positive impact on the proportion of women and BAME staff promoted since this date. We also run programmes to support academic promotion applicants – one series is aimed at all academics, another at teaching-led promotions and a third, "Enabling Women in the Promotions Process" is aimed at women in reach of promotion to Chair. This programme won a Times Higher Education Award for Outstanding Contribution to Leadership Development in 2016.

Recruitment data analysed for the College's Institutional Athena Swan application in 2017 demonstrated that the proportion of male and female applicants being offered academic roles were equally balanced. Our Race Equality Charter Mark application in 2019 demonstrated that balanced shortlisting of White/BAME candidates has improved following the introduction of the Stonefish system, but that a smaller proportion of BAME candidates reach the offer stage than their white counterparts. We have learned through the promotions process that anonymising applications makes a positive difference. Introducing anonymised applications in the recruitment of academics and research staff is challenging given their public profile and body of work, and the reliance on CVs to present themselves. We intend to explore if such an anonymised process can be introduced for academic and research recruitment, with the aim of further limiting the potential for unconscious bias. Mandatory unconscious bias training is intended to limit the potential for unconscious bias at interview stage. We also intend to recommend BAME representation where possible on all recruitment interview panels and provide a short "unconscious bias refresher" briefing to interview panel members prior to interview events.

We aim to ensure that research posts are only advertised as fixed term where there is an objective justification. Normally this is the availability of internal or external funding to support such posts. A robust recruitment approval process is in place, and is the same for fixed term contracts as for permanent staff. We use HERA job evaluation to ensure that the level of pay and grade for researchers is determined according to the requirements of the post. Our pay policy recommends that new starters are recruited on the first point of the pay scale unless experience can be demonstrated related to the role which merits a higher starting point.

In the CROS survey, 91% of new starters who responded confirmed that they had received written role descriptions and the qualifications required of the post holder when recruited. Applicants were less frequently informed of specialist research skills (82%) and transferable skills required by the post holder (50%), particularly at a more senior level. The introduction of generic role descriptions and person specifications for academic staff has assisted this – plans are in place to introduce generic role descriptions and person specifications for researcher roles.

Summary of Proposed Actions

Action 1: Introduce a new Recruitment and Selection policy to strengthen policy and practice. This will include guidance to improve the provision of information for candidates on the specialist research and transferable skills required by the post holder.

Action 2: Explore the development of a new process for anonymising recruitment applications and shortlisting, with the aim of further limiting the potential for unconscious bias in the shortlisting process.

Action 3: Recommend BAME representation on all interview panels where this is achievable alongside existing recommendation for gender balance.

Action 4: Introduce generic role descriptions for researcher roles.

B. RECOGNITION AND VALUE

Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation’s human resources and a key component of their overall strategy to develop and deliver world-class research

- 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.
- 2 Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers and their organisations.
- 3 Research Managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers’ performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.
- 4 Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.
- 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.
- 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.

Evidence of Current Compliance

Royal Holloway values and recognises the contribution that researchers make in a wide range of areas and affords equal treatment to all, regardless of their employment status. The College abides by the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) in that fixed term staff have the same terms and conditions of employment and the same access to development opportunities, participation in decision-making and flexible working.

We are committed to do what we can to improve the stability of employment conditions for researchers, albeit that permanent roles are not always available due to financial restrictions. A redeployment process is in place and is managed through the Stonefish system. It is clear that working within their academic department, fixed term staff are often aware of and take up redeployment opportunities with their discipline. However a more proactive approach may be needed, with more guidance for research managers in how to encourage and support fixed term staff to seek redeployment. We have recently used bridging funding from GCRF to support researchers between grant projects.

The College's Performance Development Review (PDR) process was reviewed in 2018 and now includes a career conversation. All researchers who are not on probation, regardless of contract type, have an annual Performance Development Review, and research managers are expected to carry this out for their teams. This is inclusive of non-permanent staff. Mandatory training has been in place for both performance management and conducting a performance development review since April 2019, and all managers are expected to complete this training by July 2021. Online Equalities and Diversity training is mandatory for all, and mandatory unconscious bias training has also been introduced for all managers.

The PDR process is also used to assess research manager performance. A new Leadership and Management Development framework provides development opportunities for managers at all levels and career stages and this is supported by the introduction of mandatory training for all managers in areas such as recruitment and selection, performance management and unconscious bias. In addition, more specific leadership development programmes are being developed for research managers (see Principle 5). Training for new Heads of Department is in place in the form of a five-day leadership development programme and a structured induction programme alongside mandatory management training for all line managers.

Pay progression is transparent through the use of HERA job evaluation, underpinned by generic role descriptions. Pay progression is in accordance with JNCHES Framework agreement.

Vacancies which could result in promotion are advertised internally and transparently to all staff regardless of contract status. The academic promotion process is transparent with clearly defined criteria at each stage, and these criteria are regularly reviewed and updated to take into account the changing nature of academics' roles. The academic promotion process is advertised widely and regularly. It includes a departmental review of all staff CVs so that those who are not confident about applying for promotion can be encouraged to do so if they are likely to succeed.

Summary of Proposed Actions

Action 5 Develop guidance and support for research managers and fixed term staff in seeking redeployment opportunities or suitable alternative career pathways.

C: SUPPORT AND CAREER DEVELOPMENT

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

- 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, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.
- 2 A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.
- 3 Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.
- 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 immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.
- 5 Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.
- 6 Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.
- 7 Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.
- 8 Employers also should provide a specific research career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.
- 9 Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skills and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience.
- 10 Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.

Evidence of current compliance

Established career pathways are in operation for academic staff from lecturer level onwards, including pathways for careers in teaching and research, teaching-focus and professional practice. It is possible for academic researchers to move between these routes as their career develops. Generic role descriptions for academics highlight the key tasks and responsibilities at all levels and emphasise the need for excellence in research. Our generic person specifications highlight the skills, experience and qualifications required of each role, and these include both research related and transferable skills

Royal Holloway has clear and transparent promotion processes relating to each pathway, with criteria that are articulated at each level. For the teaching and research route, applicants are required to demonstrate that they have achieved objectives related to four specific areas – research, teaching & learning, external engagement & impact and leadership & enhancement. The promotion process ensures that the work of individuals whose research is developing high quality innovation and outputs with expanding reach and impact is recognised and valued.

To assist individual researchers with their career management, our Performance Development Review (PDR) process was reviewed in 2018 and the career development support element was strengthened. A career conversation has been specifically introduced early in the discussion, to enable individuals to construct a career development plan with the support of their reviewer. Performance objectives can then be set which support the individual's career development plan. Reviewees are encouraged to consider both their longer term objectives against each promotion criteria, and what they need to achieve in the current year. The PDR is an annual process which also includes personal development planning, where individuals are encouraged to undertake CPD to support their performance and career development. The College operates an internal mentoring network to support career and personal development, and mentoring is also encouraged and available within academic departments. Researchers also have an annual research meeting with the Department Research lead and have a five-year research plan.

For newly appointed academic staff, the College operates a three-year academic probation process. During this time the individual has regular meetings with a probation advisor who agrees an annual work plan with them, monitors the individual's progress and provides advice and support. Individuals are not subject to the annual Performance Development Review process during the three year probationary period. CPD in previous institutions is recognised and can be used to offset probation requirements subject to the approval of the chair of the probation sub-group.

The intention is that workload for probationers be carefully managed to ensure they have sufficient space to learn and to develop their research activity, but significant time pressures often exist for probationers. The College runs training sessions with probation advisors to clarify expectations of and support for probationers. It would be useful to review the workload and time pressures of Early Career Researchers to ensure that they are in a position to take up development opportunities. The CROS survey revealed that 16% of respondents had undertaken 10 or more days of professional development stipulated by the newly-revised Concordat. This figure was 19% for staff with 0-5 years' experience.

The College has around 140 non-academic research staff, around 88% of whom are on a fixed term contract. A three-year academic probation route is not suitable for these individuals, who are instead on one-year probation paths. Most are at the early stages of their research career. They participate in the annual performance development review process with the same career conversation and personal development planning as academic colleagues. They receive an annual pay increment until they reach the top of grade.

In the CROS survey, 77% of respondents reported that they were encouraged to engage in personal and career development. This figure rose to 90% or more for staff with ten or less year of experience and for those on fixed term contracts. 69% said that they had a clear career development plan, and this fell to 56% for staff on fixed term contracts. This suggests that personal support and encouragement is available for many early career staff, but the lack of clarity around the career pathway for researchers prior to lecturer level, along with the temporary nature of many research roles, may be contributing to a difficulty with establishing a clear career plan.

The College currently runs a skills development programme known as "On Track." This programme is currently in the process of being reviewed and improved to broaden its activities and range. Now to be known as the "Advance" Programme, it will aim to advance the professional and personal development of all researchers at Royal Holloway, regardless of level or employment status. Development areas within the programme will be grouped into five themes:

- Research and research skills
- Developing your research proposal
- Now you have your award
- Becoming a research leader
- Making an impact with your research

Under these headings skills such as peer review, networking and collaboration, proposal development, research ethics, staff supervision and communicating with business and policy makers will be covered through workshops, online learning and facilitated networking sessions. The programme will also aim to integrate seamlessly with the College's generic training programme, which offers a wide range of development in areas such as leadership and management, communication and project management, so that researchers can easily access a broad range of appropriate and relevant training.

The College runs a half day induction event for all new staff, which is held nine times per year. Probationers, including post docs, take part in a full day introduction to research at Royal Holloway, including sessions on our research strategy and the funding landscape, and presentations from support services such as Research and Innovation and the Library. As part of the new Advance Programme, this induction will also include a session on Research Integrity.

We also have a specific induction checklist for academic staff. In the CROS survey, the institution-wide induction programme was well-received by 53% of new starters, with more experienced researchers being most likely to respond to this question positively. Departmental/faculty level induction was less well-received with more experienced researchers being less likely to respond to this question positively. A review of local induction processes for researchers is therefore needed.

Proposed Actions

Action 6 Develop a clear career pathway for researchers prior to lecturer level

Action 7 Review the time/workload pressures of Early Career Researchers to ensure that they are able to take up development opportunities.

Action 8 Develop and implement the Advance Programme with the involvement of Early Career Researchers

Action 9 Review the local induction process for new starters within academic departments

Action 10 Introduce Research Integrity and Ethics training for all researchers.

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

- 11 Researchers should be empowered by having realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important researchers have access to honest and transparent advice on their prospects for success in their preferred career.
- 12 Employers will wish to ensure that development activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not duly disadvantaged when moving from one employer to another.
- 13 Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.
- 14 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.
- 15 Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.

Evidence of Current Compliance

The College’s Performance Development Review process, described above under principle 3, enables all researchers who are not on academic probation to assess their professional performance on an annual basis with the support of their reviewer. Individuals get advice on their prospects for success in their preferred career via this process. In addition, in recent years the College has adapted the academic promotions process so that all staff who feel ready to apply for academic promotion can do so without being approved by a departmental promotion board. These departmental boards now serve to provide advice and guidance to individuals seeking promotion, and also provide encouragement to individuals whom the board feels should consider applying.

Mentoring opportunities are available within departments, and, as described above, all probationary staff are assigned an advisor to support them through the three-year probation process. Mentoring and peer review should then continue throughout a researcher’s career. The College operates an internal mentoring network to support career and personal development. In the CROS survey, around 44% of staff with ten years or less experience, and a similar percentage of fixed term staff, reported that they had received mentoring. However, around a third of these staff reported that they had not undertaken mentoring and would like to do so. A very small number of early career staff also reported that they had undertaken professional development activities in career management. This suggests that providing a greater level of mentoring and career development support would be of benefit to our early career researchers.

The College's new Advance programme (described above) will provide a wide range of researcher development including preparation for academic practice. The College recognises existing skills, experience and CPD.

All teaching and research academics appointed at lecturer and senior lecturer level are required to obtain Fellowship of the Higher Education Academy, either by completing the College's accredited Certificate in Academic Practice in Teaching and Learning (CAPITAL, a 'teacher development' programme) or through an accredited CPD route (TALENT), in which they reflect on their established professionalism in HE teaching and supporting learning. Other staff, including academic fellows and post-doctoral researcher fellows, can also complete CAPITAL if they are teaching. Staff with a contract of less than two years and those in other researcher positions can, depending on their educational role, complete either CAPITAL, or the College's programme in Skills of Teaching to Inspire Learning (inSTIL) which is a 'teacher development' programme aimed at staff who have a narrower educational role (conferring Associate Fellowship of the HEA). These qualifications are transferrable to new employment environments.

A strong proportion of respondents to the CROS survey who are on fixed-term contracts said that they had had the opportunity to teach or lecture (88%) and to undertake teacher training (81%). However more could be done for this group of staff to ensure that they are able to access the training that is available, and take up opportunities for gaining teaching experience which will help them to further an academic career whilst staying within the rules of their funding agreement. This will be a further priority for our action plan.

Academics are represented at staff meetings and committees across the College. The College has recently undergone an academic restructure, and has moved from a three-faculty structure to a six-school structure. The six Heads of School are now part of the Executive Board. From this a new academic governance structure has been developed to ensure academic representation at all levels. All academics attend school board meetings, whilst school research and knowledge exchange committees include early career researchers and PhD students.

Proposed Actions

Action 11 Investigate and, if necessary, develop early career researcher representation within the committee structure, to ensure that their views are heard.

Action 12 Develop the College's provision of mentoring and career advice for early career researchers.

Action 13 Develop further opportunities to teach and train for early career researchers on fixed term contracts, working within funding agreement rules where this is required.

D: RESEARCHERS' RESPONSIBILITIES

Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.

- 1 Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.
- 2 Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.
- 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.
- 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.
- 5 Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.
- 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.

Evidence of Current Compliance

The College encourages its researchers to take responsibility for pursuing their own career and to develop increased capacity for independent, honest and critical thought through the Performance Development Review process and the academic probation and promotion processes. This is supported through our researcher development programme, which is now being developed as the Advance Programme (see Principle 4).

Our Research and Innovation Department provides professional support for academics in research development and knowledge exchange. Following the appointment of a new Director of Research and Innovation in 2018, resources have been allocated to the College's refreshed research strategies, directing resources to support strategic research and business development. There is an increased emphasis on capacity building, working with cohorts of early career researchers to improve research related skills in particular, those associated with grant writing as well as leading a new Research Training Forum to bring together stakeholders across the College who have an interest in the training and development of researchers.

The College commissioned a review of ethics, governance and research integrity in 2019, the recommendations of which are now being implemented in line with the new Concordat to Support Research Integrity. The provision of ethics training has improved and further training on research integrity and ethics will be included within the Advance Programme for researcher development, and within the mandatory core College researcher induction (see Principle 4). We have become a member of the UK Research Integrity Organisation, which will enable us to make use of their expertise in improving both our governance and training.

Our Performance Development Review (PDR) process emphasises that researchers are primarily responsible for managing their own careers. How career development requirements and activities are regularly discussed, monitored and evaluated, through PDRs, probation and internal mentoring, is described in Section C above.

Training in conducting a Performance Development Review has been mandatory since April 2019, with the aim of promoting good quality discussions at review meetings. Career guidance has also been provided through a number of internal workshops, including the Enabling Women through the Promotions Process programme (for women), Aurora (for women) the Mandala programme (for BAME staff) and a career development workshop which is open to all. A specific Research Leadership pathway is being developed as part of the Advance Programme.

Action 14 Improve the governance, training and profile of Research Integrity (including updating the Code of Good Research Practice in line with the new Concordat to Support Research Integrity).

Action 15: Develop the Research Leadership pathway as part of the Advance Programme

Action 16 Ensure effective communication of all training opportunities

E: DIVERSITY AND EQUALITY

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

- 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 actions plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression
- 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.
- 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.
- 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.
- 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.
- 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.
- 7 Employers should aim for 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.
- 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 disability and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.
- 9 All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.
- 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.

Evidence of Current Compliance

As outlined in the College’s Equality and Diversity Statement, we are committed to ensuring that:

- we create a positive, inclusive environment, free from prejudice, bullying, harassment and unlawful discrimination. We will take action to challenge inappropriate behaviour and discriminatory practice
- staff, students, applicants for employment or study, visitors and other persons in contact with Royal Holloway are treated fairly, with dignity and respect
- people and diverse groups with multiple identities and individual differences are recognised and valued
- we provide our staff and associates with the knowledge and skills they need to understand and meet their equality and diversity responsibilities.

We take this statement and our Public Sector Equality Duty very seriously, and are currently working with a new Equality and Diversity strategy which aims to ensure the elimination of discrimination, harassment and victimisation, the advancement of equality of opportunity and the fostering of good relations. The College holds an institutional bronze award in both Athena Swan and the Race Equality Charter Mark award, as well as many departmental Athena Swan awards, three of which are silver. In addition our Physics department holds Juno Champion Status, we are part of the Disability Confident scheme and are a Stonewall Diversity Champion. We are currently number 274th out of 434 organisations in the Stonewall Workplace Equality Index and have recently submitted an application for the 2020 round having developed a new action plan based on feedback from the previous submission.

We aim for a representative balance of gender, disability and ethnicity at all levels of staff. Our gender distribution at professorial level is now 67.6%/32.4% male/female. This has increased from 75.1%/24.9% in 2014, and this considerably more balanced than the national benchmark which is 75.4%/24.6%.

At more junior levels the gender balance is more even – 57.1%/42.9% for senior lecturer/reader level, 54%/46% for lecturer and 53.2%/46.8% at post-doctoral researcher level. This shows the gradual reduction in the proportion of women and demonstrates that fewer women have reached the most senior academic levels (although this proportion is increasing.) In our Race Equality Charter Mark application in 2019, we identified that in 2017/18 the ethnic distribution in our academic/research workforce was 14.6% BAME and 80.7% white (with 4.8% unknown). The HESA comparison for the sector in London and the South East in the previous year was 15.7% BAME and 74.9% white. At professor level we have 7.7% BAME staff, 17.1% at Reader/Senior Lecturer level, 16.6% at lecturer level and 20.9% at post-doctoral researcher level. The Mandala career development programme has recently been developed and delivered to support the career and personal development of BAME staff seeking promotion to senior roles, which helps the College to increase the number of staff from BAME backgrounds who successfully apply for these positions. The impact of this programme needs to be monitored going forward.

We recognise the substantial benefits in ensuring that we recruit and retain researchers from the widest pool of available talent, including all backgrounds and characteristics. Further description of our work and proposed actions in this area can be found under Principle 1 – Recruitment and Selection, including our work on ensuring diverse recruitment panels.

We also recognise that being a researcher is a demanding role which can require individuals to work irregular hours. Coupled with teaching and administrative duties, researchers can struggle to achieve a good work/life balance and this can impact specifically on staff returning from maternity or family-related leave and those with

caring responsibilities. Our family friendly policies (maternity, paternity, adoption, flexible working and shared parental leave) are all currently being reviewed and updated to ensure that they provide effective policy and procedure for supporting family life.

To support researchers returning from maternity and shared parental leave, sabbaticals were introduced for bench scientists returning to work to supervise their research teams. In 2018 this scheme was opened up to parents from all disciplines returning from maternity leave or shared parental leave to maintain and strengthen their research. We also have a flexible working policy which enables all staff to apply for flexible working arrangements. More guidance could be given to research managers to ensure that they have effective career development discussions with maternity and shared parental leave returners and those with significant caring responsibilities, which also address the issue of workload allocation.

The College has a Dignity at Work policy, which aims to ensure that discrimination, bullying or harassment can be reported and addressed. Training is in place for managers in how to spot and manage incidents of discrimination, bullying or harassment at work.

Some of the responses in the CROS in relation to Equalities and Diversity were lower than expected. 67% of respondents agreed that the College is committed to equality and diversity, with those with more than 10 years' experience and those on fixed term contracts being most likely to disagree. Similarly, 59% of respondents to the CROS said that the College treats staff fairly regardless of their personal characteristics in relation to recruitment, and 38% in relation to reward. These two results are markedly different from those received in relation to similar questions in our staff survey conducted in November 2018. In this survey, 83% of teaching and research staff and 93% of research staff reported that they felt the College acts fairly in relation to recruitment. Similarly 60% of teaching and research staff and 58% of research staff reported that they felt the College acts fairly in relation to career progression/management. The reason for the difference may be the much smaller response rate to the CROS survey, however it would be useful to understand in more detail why some research staff have responded in this way to these questions, and to engage research colleagues more specifically on the College's work on equality issues.

Proposed Actions

Action 17 Update and regularly review the College's family friendly policies.

Action 18 Provide guidance and support to research managers in having effective career and workload allocation discussions with staff returning from maternity/family leave or with other caring responsibilities.

Action 19 Investigate the reasons why the CROS reported lower results in relation to Equality and Diversity than the 2018 staff survey.

Action 20 Engage with research colleagues more specifically on the College's work on equality issues.

F: IMPLEMENTATION AND REVIEW

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

1. The implementation of the Concordat’s principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.
2. The signatories agree:
 - a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including Professional Institutions. This group will inform the UK Research Base Funders’ Forum of progress.
 - b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.
 - c. to contribute an appropriate share of the costs of supporting implementation 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 implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector)
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.
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.
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.

Evidence of Current Compliance

The College participates in the Athena Swan Institutional (bronze award), the Juno Project, Race Equality Charter Mark (bronze award), Stonewall Workplace Equality Index and the Disability Confident Scheme. We also participate in active sharing of good practice with other institutions on E&D issues and initiatives.

Proposed Actions

No further actions identified.

Royal Holloway, University of London 2019 – 2021 HR Excellence in Research Action Plan

Action	Description	Success Measures	Link to Concordat Principle	Owner	Timescale
1	Introduce a new Recruitment and Selection policy to strengthen policy and practice. This will include guidance to improve the provision of information for candidates on the specialist research and transferable skills required by the post holder.	10% increase of new starters reporting via CROS that they were informed of transferable/personal/management skills required by the post-holder by June 2021	Principle 1 – Recruitment and Selection Principle 5 – Equalities and Diversity	Head of HR Operations	31 May 2020
2.	Explore the development of a new process for anonymising recruitment applications and shortlisting, with the aim of further limiting the potential for unconscious bias in the shortlisting process.	Implementation issues fully explored with solutions proposed as appropriate for how academic/research applications can be effectively anonymised. Meaningful target identified for measuring improvement in balanced shortlisting.		Head of HR Operations	31 July 2020
3.	Recommend BAME representation on all interview panels where this is achievable alongside existing recommendation for gender balance.	7% increase of staff agreeing via CROS that staff at the College are treated fairly with regard to recruitment and selection		Head of HR Operations	31 May 2020
4.	Introduce generic role descriptions for researcher roles	6% increase of new starters reporting via CROS that they were informed of specialist research skills required for their post by June 2021		Head of HR Operations	31 December 2019

5.	Develop guidance and support for research managers and fixed term staff in seeking redeployment opportunities or suitable alternative career pathways.	Benchmark identified for the number of fixed term research staff successfully redeployed Meaningful target identified for successful internal redeployment of fixed term staff.	Principle 2 – Recognition and Value	Head of HR Operations	31 July 2020
6.	Develop a clear career pathway for researchers prior to lecturer level	Pathway in place and actively in use. 10% increase in fixed term staff reporting via CROS that they have a career development plan.	Principle 3 and 4 – Support and Career Development	Head of HR Operations/ Head of Organisational Development and Diversity	31 July 2021
7.	Review the time/workload pressures of Early Career Researchers to ensure that they are able to take up development opportunities.	Extent of time/workload pressures of Early Career Researchers identified, with an assessment of its impact on the take up of development opportunities		Head of Organisational Development and Diversity	31 July 2021
8.	Develop and implement the Advance Programme with the involvement of Early Career Researchers	New format and programmes implemented and in place. Benchmark identified for ECR take up of previous programme with meaningful improvement target agreed.		Head of Research Services	31 December 2019
9.	Review the local induction process for new starters within academic departments	New local induction arrangements negotiated and in place. 10% improvement in department induction approval rating in CROS		Head of Organisational Development and Diversity	31 July 2020

10.	Introduce Research Integrity and Ethics training for all researchers	10% increase of CROS respondents reporting that they have participated in research integrity training	Principle 3 and 4 – Support and Career Development	Head of Research Services	31 July 2020
11.	Investigate and, if necessary, develop early career researcher representation within the committee structure, to ensure that their views are heard.	Current involvement assessed and developments agreed.		Heads of School	31 July 2020
12.	Develop the College’s provision of mentoring and career advice for early career researchers.	Access to mentoring and career advice clearly available, with 6% increase in staff with less than 5 years’ experience reporting that they have received mentoring via CROS.		Head of Organisational Development and Diversity	31 July 2021
13.	Develop further opportunities to teach and train for early career researchers on fixed term contracts, working within funding agreement rules where this is required.	ECRs enlisting on CPD for teaching.		Head of Educational Development	31 July 2021
14.	Improve the governance, training and profile of Research Integrity (including updating the Code of Good Research Practice in line with the new Concordat to Support Research Integrity)	10% increase of CROS respondents reporting that they have participated in research integrity training 10% increase in CROS respondents reporting that they have some understanding of the Concordat to Support Research Integrity.	Principle 5 – Researchers’ Responsibilities	Director of Research and Innovation	31 July 2020

15.	Develop the Research Leadership pathway as part of the Advance Programme	Pathway programmes developed and implemented with 75% occupancy rate.	Principle 5 – Researchers’ Responsibilities Principle 3 and 4 – Support and Career Development	Head of Research Services	31 July 2020
16.	Ensure effective communication of all training opportunities	Benchmark identified for researcher take-up of training opportunities. Meaningful improvement target for take-up agreed and met.		Head of Organisational Development and Diversity	31 July 2020
17.	Update and regularly review the College’s family friendly policies	Currently review completed. Timetable of when to review identified policies is created	Principle 6 – Equalities and Diversity	Head of HR Operations	30 April 2020
18.	Provide guidance and support for research managers in having effective career and workload allocation discussions with staff returning from maternity/family leave or with other caring responsibilities.	Guidance in place and provided through training to research managers		Head of Organisational Development and Diversity	31 July 2020
19.	Investigate the reasons why the CROS reported lower results in relation to Equality and Diversity than the 2018 staff survey.	Reasons identified through engagement with staff and actions identified to address any issues.		Head of Organisation Development and Diversity	31 July 2020
20	Engage with research colleagues more specifically on the College’s work on equality issues.	10% increase in positive response in CROS, in relation to E&D questions on recruitment and reward.		Head of Organisational Development and Diversity	31 July 2020