

**HR Excellence in Research
Gap Analysis and Action Plan Eight-year review, May 2020**

Time frames and success measures for actions are stated clearly whenever possible.

Actions that form a key focus of our strategy for the next 2 years (see supporting statement) have a blue background

Actions that are complete are highlighted in brown

New actions are highlighted in purple

A list of abbreviations is given at the end of this document

Action related to Concordat clause numbers	Background to, and description of, action defined in 2018 gap analysis and action plan. Action (A); Lead(s) (L); Success measures (S)	Progress since 2018 review and comments	Strategy going forward for next 2 years: Action (A), with timeline; Lead(s) (L); Success measures (S) 'SMART' whenever practicable
1.2 6.1-6.3 6.7 7.5	Action 1 We continue to embed and develop practice and policies in order to work towards application for the Race Equality Charter Mark A: We will apply for the Race Equality Charter Mark in December 2020. L: Professor Anne-Marie Kilday, PVC Staff Experience, head of SAT. S: Award of the Race Equality Charter Mark.	We have made good progress in our action plan for application for the Race Equality Charter Mark https://www.ecu.ac.uk/equality-charters/race-equality-charter/ , and feedback suggests that we will be in a strong position to sign up to the Charter in summer 2020, with a view to application in summer 2022.	Updated Action 1 A: We will sign up to the Race Equality Charter in July 2020 and apply for the Charter mark in July 2022. L: Professor Anne-Marie Kilday, PVC Staff Experience, Head of SAT. S: Oxford Brookes is a signatory to the Charter, and is awarded the Race Equality Charter Mark.
2.1-2.3 2.6 3.1-3.3 3.6-3.9 4.10 4.12 4.13 5.2 5.5 5.6	Action 2 In 2014 the Faculty of Health & Life Sciences developed a policy document and procedures to advise managers of research teams regarding performance management, including career development guidance, of those who work in their teams. A: Publication of the document to all Faculties, beginning of academic year, October 2018. Research managers canvassed through an email call about their experience of the document, beginning of academic year, October 2020 L: Professor Linda King, PVCR and Associate Deans for Research.	100% of Research Managers reported that they have adopted the policy document, and are either using it, have embedded this information in Faculty research web pages, or talk researchers through the post-award process in person. ACTION COMPLETE AND EMBEDDED We noted that, in response to CROS 2019, 82% of researchers agreed they are “integrated into their department’s research community”, which is higher than the sector average (74%). However, whilst in line with the sector average (64% versus 65% sector average), researchers agreed to a lesser extent that they were “integrated into your departmental community more generally”. Researchers also raised the issue of wishing to	New action 2a A: Plan, develop and deliver new module(s) during academic year 2020-21 to support managers of researchers and PIs to effectively support the career development of their team members, as part of the EXPLORE@Brookes programme (see Action 3e). Include focus on the importance of encouraging and facilitating

	<p>S: >75% of research managers report being aware of the document and >75% of those who have accessed it report finding it 'useful'.</p>	<p>feel more integrated into their department's culture during focus groups held during the 2018/19 academic year.</p> <p>In CROS 2019, we also exceeded the sector average on agreement with <i>all</i> statements in the section on the usefulness of the institution's staff review/annual appraisal scheme (PDR). For example (sector average in brackets), 95% (vs 64%) said PDR was useful "to highlight issues" 85% (vs 59%) said it was useful "overall" 85% (70%) said it was useful "in reviewing personal progress". However, only 60% of our researchers said they had "participated in staff appraisal/review" over the past two years. This is lower than the sector average (72%).</p>	<p>researchers to feel integrated into departmental 'culture', and of PDR.</p> <p>L: Professor Susan Brooks, Director of Researcher Development; Professor Linda King, PVCR; Mrs Jennie Cripps, Researcher Development Co-ordinator.</p> <p>S: Modules launched during academic year 2020-21. CEDARS 2022 and 2024 (Action 6) indicate that 70-80% of our researchers report that they feel "integrated into your departmental community more generally". They report that they engage in PDR in line with, or exceeding, the sector average and with a target of 80%.</p> <p>New action 2b</p> <p>A: Issues around importance of PDR and researchers' feeling of integration into departmental culture to be raised at Faculty and Departmental level for local action, beginning semester 2 (January-June) 2020 and ongoing.</p> <p>L: Associate Deans for Research to raise at Faculty RKECs; Heads of Department to raise with line managers during the same period.</p> <p>S: CEDARS 2022 and 2024 (Action 6) indicate that 70-80% of our researchers report that they feel "integrated into your departmental community more generally". They report that they engage in PDR in line with, or exceeding, the sector average and with a target of 80%. See also Action 14</p>
<p>2.3 3.3 3.4 3.6 3.7 3.9 4.11 4.12 5.5</p>	<p>Action 3a New research support web pages launched in November 2016 https://www.brookes.ac.uk/research/research-support/ We wished to determine how these were received by researchers with a view to refining them if necessary.</p> <p>A: Run focus groups with researchers to gather feedback on relevance and ease of navigation of webpages during November-December 2018. Revise and update as required for launch in October 2019. Further focus groups in November-December 2019 to review re-launched pages. Review baseline footfall on webpages during academic year 2017/18 and 2018/19 and compare with footfall on revised webpages during 2019/2020 in October 2020.</p> <p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator</p> <p>S: Focus group participants report that all issues highlighted in original focus group feedback have been satisfactorily addressed (NB as feedback will be qualitative, it is not possible to state quantifiable targets for this action). We see an increase footfall on revised webpages in comparison to baseline.</p>	<p>Focus groups held with researchers as actioned. We also conducted an email campaign and collated written feedback. Our original plan was to act immediately on the feedback as part of an ongoing project to make information more accessible to researchers. However, this action has been subsumed into a much more extensive overhaul and redesign of the webpages supported by significant financial investment (£50K) from the PVCR.</p> <p>Feedback from researchers affirmed that the Researcher Development Matrix, mapping training and development opportunities against the Vitae Researcher Development Framework, was useful, but that we could improve the look of the toolbar, visibility of the web pages and ease of navigation and this has been taken into account as part of web redesign.</p> <p>In the new webpages, for the first time, Researcher Development will have its own sub-section with clearer identity and improved visibility, bringing together relevant training, events, development opportunities, resources and governance.</p>	<p>Updated action 3a</p> <p>A: Redesign of researcher webpages during academic year 2019-20</p> <p>L: Webpage design: Mrs Jennie Cripps, Researcher Development Co-ordinator; Mrs Helen Shipway, Web Communications Manager; Mr Thomas Shepherd, Web Editor/UX Research and Design. Ongoing webpage support: Dr Gareth Preston, RBDO.</p> <p>S: New webpages launched in time for beginning of the new academic year, September 2020, and kept updated going forward.</p>

		They will also include, for the first time, profiles of research-only staff which are self-editable in order that researchers can continually update, and effectively promote their profile externally.	
2.3 3.3 3.6 3.9 5.5	<p>Action 3b CROS 2017 results indicated an increase in awareness and engagement in training, and we wished to build on this.</p> <p>A: Researcher awareness of training resources available will be reviewed through response to questions in University staff survey 2018 and CROS 2019 that reflect training and its impact, September 2019.</p> <p>L: Professor Susan Brooks, Director of Researcher Development</p> <p>S: Improved response to relevant CROS and staff survey questions in comparison to 2017 results. For example, in comparison with CROS 2017 (2017 figures given in brackets) >90% reported that they were encouraged to engage in development (82%); >90% had undertaken training in research techniques (82%); >80% training in ethical research conduct (70%); >45% in interdisciplinary research (36%) and >55% in public engagement (45%)</p>	<p>CROS 2019 results indicated a high level of researcher awareness of training resources, and their engagement, in comparison to sector average and improvements on CROS 2017. For example, 95% reported that they had access to training and development opportunities (sector average 85%; CROS 2017 91%); 89% reported that they were encouraged to engage in development (sector average 76%; CROS 2017 82%); Moreover, whilst the proportion of time spent on training and development overall was broadly in line with the sector average, the proportion of researchers who spent 10 days or more on training / CPD in the past year (22%) was noticeably higher than the sector average (14%).</p> <p>CROS outcomes were reviewed by a working group consisting of the PVCR, Director of Researcher Development, and Researcher Development Co-ordinator who produced a summary document and action plan which was agreed at University RKEC and distributed to Associate Deans for Research for discussion at Faculty RKECs and for some actions to be implemented at Faculty level. Others form part of this action plan</p>	<p>Updated Action 3b A: Implement CROS 2019 action plan, ongoing until CEDARS 2022 and 2024 (details in other parts of the document)</p>
	Action 3c was complete and embedded at our 2018 review, and did not appear on our 2018 action plan		
3.3 3.7 3.9	<p>Action 3d We launched a new centrally-funded Research Excellence Awards scheme open to all research-active staff, including Research Fellows, in 2016</p> <p>A: Run an annual call in November for applications for research excellence awards</p> <p>L: Professor Linda King, PVCR</p> <p>S: Between 20 and 30 awards made annually</p>	<p>The Research Excellence Awards scheme is now embedded, with 20-30 awards made annually (for example, there were 31 Research Excellence awards made in Jan 2020, amounting to over £300k of central investment in researcher activities). It is open to all research-active staff who are REF-eligible, including Research Fellows. It is planned that the scheme will continue.</p> <p>ACTION COMPLETE AND EMBEDDED</p> <p>Building on the success of the scheme, and in direct response to feedback from CROS 2019, in 2019-20, we launched a pilot Research Excellence Awards scheme specifically for contract researchers (PDRAs, experienced PGRAs) and research technicians, to give our researchers experience of leading a small independent project, managing a budget and supervising a summer placement student. In 2020, 7 awards were made totalling £25K.</p>	<p>Updated action 3d A: Review impact of pilot Awards scheme for ECRs through written feedback from awardees, and evidence from a showcase event, November 2021, where awardees present the outcomes of their projects. Subject to encouraging feedback, continue to run an annual call for applications for research excellence awards, including those for contract researchers/technical staff</p> <p>L: Professor Linda King, PVCR.</p> <p>S: At least 5/6 awardees from the pilot ECRs/technical staff scheme report positively on the impact of their awards; between 20 and 30 awards to REF-eligible staff and 5-10 awards for ECRs/technical staff made annually going forward</p>
2.1 2.3	Action 3e	Focus groups were held as actioned and highlighted strengths and gaps in our researcher training. We also	Updated Action 3e

<p>2.6 3.2-3.4 3.6-3.9 4.10-4.14 5.2-5.6</p>	<p>We wished to gather researcher views on our training provision, with a view to strengthening it. A: Run focus groups with early career researchers to gather views on strengths and any gaps in our researcher training and support in order to revise and improve provision. Focus groups during June-September 2018; improved provision rolled out during academic years 2018/19 and 2019/20; feedback gathered through forms distributed at the end of any revised/new sessions. L: Professor Susan Brooks, Director of Researcher Development S: Revised programme includes new provision that satisfies any gaps identified in analysis, and >80% attendees/participants in new or revised sessions report that the session meets their needs.</p>	<p>conducted an email campaign and collated written feedback. As a result of this, we offered a number of new workshops for research-active staff, including research-only staff – for example, on ‘consultancy and intellectual property, ‘how to run a successful conference’, ‘global challenges research and international collaboration’.</p> <p>Furthermore, in response to CROS 2019, there were aspects of ‘training and other continuing professional development activities’ which a high proportion of respondents said that they had ‘not undertaken but would like to’, notably: knowledge exchange (73%), and leadership and management (61%).</p> <p>Now, furthering our embedded work to develop and deliver an integrated academic development framework, incorporating research management, research degree supervision, leadership and teaching, we are currently working with OCSLD to build and develop our long-standing ‘Your First Three Years’ development programme into a career-wide and career-long CPD framework, EXPLORE@Brookes (EXcellence in Promoting Leadership Of Research and Education). There will be a pathway through the programme specifically for research-only staff. We will seek accreditation of the programme from Advance HE https://www.advance-he.ac.uk/.</p>	<p>A: Plan, develop and launch a new accredited Research and Academic Leadership framework EXPLORE@Brookes L: Working group headed by Professor Jackie Potter and Dr Jane Pritchard, OCSLD S: Advance HE accredited framework launched Sept 2020; Comparable scores around ‘training and other continuing professional development activities’ improve in CEDARS 2022 and 2024 by at least 5-10% in comparison with CROS 2019.</p>
<p>2.6 3.2 3.5 5.4 5.5 6.1-6.8</p>	<p>Action 4a Promotion roadshows, showcasing ‘successful researcher stories’ have been run annually since 2016 A: Deliver a programme of annual promotion roadshows including, for the first time, ‘successful researcher stories’ highlighting part-time and female non-STEMM ‘stories’, starting January 2017 L: Professor Susan Brooks, Research Training Co-ordinator and Professor Linda King, PVCR S: Increase in proportion of female part time and non-STEMM readers and professors in Athena SWAN analysis in comparison to 2011/12 and 2014/15 data</p>	<p>Having run promotion roadshows until academic year 2018-19, we saw a marked decline in engagement, and judged that we had satisfied an initial need presented by a pool of researchers / academic staff interested in promotion who were seeking information.</p> <p>Resources are now focussed on improved HR / promotion webpages. Greater transparency of promotion requirements is achieved through clear role profiles for all career stages, so that researchers can identify gaps in skills and experience and work towards achieving them in preparation for promotion. The criteria for promotion are also clearly laid out.</p>	<p>ACTION COMPLETE AND EMBEDDED</p>
<p>2.6 3.2 3.5 5.4 5.5 6.1-6.8</p>	<p>Action 4b In 2018 we were nearing the end of a project to develop a ‘parent, carer, academic’ resource featuring inspiring stories of Brookes academics. It was launched at an event on 13th June 2018 chaired by Dr Katy Gearing, Head of Industry Engagement at the Royal Society, and entitled ‘Making a Difference: work/life experiences of Brookes’ academics’. Hard</p>	<p>The microsite is live https://www.brookes.ac.uk/research/work-life-experiences/ named ‘making a difference: work/life experiences of Brookes’ academics’ and is linked from the researcher development webpages.</p> <p>A parallel project on women and spinouts, in collaboration with the University of Oxford and Vitae and funded by</p>	

	<p>copy and on-line version of the booklet had been developed, together with four short videos which feature some of our colleagues.</p> <p>A: Develop a web microsite to host the 'parent, carer, academic' videos and link to research webpages and Athena SWAN webpages, beginning May 2018; microsite launched September 2018. Analyse characteristics - such as gender, full time or part time status and ethnicity -- of those who apply for and gain promotion and measure against 2018 baseline; end of academic year, September 2019 and annually thereafter.</p> <p>L: Ms Mieke Tyrell, Research Administrator, Centre for Diversity Policy Research (microsite); Mrs Alison Cross, Director of HR, (staff analysis).</p> <p>S: Microsite is live. Analysis indicates improved levels of applications for promotion from women, part-time staff and BAME staff in comparison to 2018 baseline and that these staff groups are equally likely to have their applications approved.</p>	<p>EPSRC has resulted in a resource featuring blogs, videos and inspiring case studies exploring the entrepreneurial pathway from research to spinout leadership</p> <p>Whilst we actioned analysis of promotion data, we now consider data on numbers of post-docs achieving internal fellowships, and research fellows securing internal academic posts to be more relevant. All these data are being collected as part of work for Athena SWAN (Action 7).</p> <p>ACTION COMPLETE AND EMBEDDED</p> <p>Content from the 'making a difference: work/life experiences of Brookes' academics' has been incorporated into the GEARING-roles project www.gearingroles.eu, funded by Horizon 2020 https://www.brookes.ac.uk/the-centre-for-diversity-policy-research-and-practice/research-projects/gearing-roles/. This is a 4 year multi-disciplinary, multi-national, and multi-sectorial collaboration supported by training, mentoring, awareness-raising and bi-annual videos and podcasts, and annual networking events. The objective is challenging and transforming gender roles and identities linked to professional careers, and work towards real institutional change. Part of this initiative is setting up an inter/intra-institutional mentoring programme FELISE (Female Leadership in Science).</p>	<p>Updated Action 4b</p> <p>A: recruit 5 female Oxford Brookes contract research staff as mentees to the FELISE programme.</p> <p>L: Dr Anne Laure Humbert, Director, Centre for Diversity Policy Research and Practice; Mrs Jennie Cripps, Researcher Development Co-ordinator.</p> <p>S: 5 female contract research staff mentees recruited</p>
<p>3.7 3.8 4.14 5.4-5.6</p>	<p>Action 5a</p> <p>A university-wide research staff mentoring scheme was developed and launched in April 2013 https://www2.brookes.ac.uk/researchsupport/mentoring. There were 39 mentor/mentee matches in the launch year; 31 in 2014-15; 23 in 2015- 16; and 36 in 2016-17.</p> <p>A: Develop on-line application forms/process for mentees and mentors This to include specific categories highlighting mentoring for promotion, and database of mentor skills including experience of promotion processes which will enable closer matching of mentee requirements with available expertise. Launch of on-line system June 2018; annual review of mentor-mentee matches April annually (prior to annual 'call' for applications in June).</p> <p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator,</p> <p>S: 2018-19 mentoring scheme administered through new on-line system highlighting possibility of mentorship for promotion and facilitating closer</p>	<p>On-line application process developed and launched as actioned, with 26 categories (including mentoring for career development and promotion, work-life balance, publication, winning grants etc) through which matches are established. We engaged in an intensive campaign to publicise the programme.</p> <p>There were 48 mentoring pairs in 2018-19, including 7 researcher mentees (approx. 7% of the researcher population) and 70 mentoring pairs, including 11 researcher mentees (approx. 11% of the researcher population) in the current academic year. We therefore more than doubled our target of 25-35 mentor/mentee pairs per year.</p> <p>We saw 7 mentees (5 females and 2 males) request mentoring specifically for promotion in 2018-19, and 12 (10 females, 1 male, 1 preferred not to say) request mentoring for promotion in 2019-20.</p>	<p>ACTION COMPLETE AND EMBEDDED</p>

	<p>matching of mentees with mentors. Numbers of mentees annually remain steady, at approximately 25-35 mentees/year, or rise. We see mentees specifically requesting mentoring for promotion, with an aim of 5 mentees per year requesting this support.</p>	<p>The mentoring scheme is now well established, will continue to run each year, and will continue to be actively promoted to researchers.</p>	
<p>3.7 3.8 4.14 5.4-5.6</p>	<p>Action 5b We wished to extend our pool of mentors, and especially senior academic staff mentors. A: All University professors will be invited to engage with the research staff mentoring scheme as mentors, with an expectation that they will do so, through an email call from the PVCR, June 2018. L: Mrs Jennie Cripps, Researcher Development Co-ordinator and Professor Linda King, PVCR S: >80% University Professors are registered as mentors by June 2019.</p>	<p>All University professors were formally invited (through email from the PVCR) to join the scheme, as actioned, indicating an encouragement that all senior staff engage actively in formal or informal mentoring. We have also increased publicity about the scheme in order to broaden our mentor pool more widely.</p> <p>Numbers of professors engaged in the scheme more than tripled from a baseline of 17 in May/June 2018 to 54 in 2019-20, representing 61% of all University professors.</p> <p>Overall the number of mentors in the scheme increased to 82 in 2018-19 and 103 in 2019-20.</p> <p>We have seen that the improved application and matching processes, described above, facilitate more effective, focussed and useful matching to support mentees' (including researcher mentees') career objectives than previously. We will continue to promote the scheme, including encouraging senior academic staff to engage as mentors. However, we have realised that our focus should be on the skills and experience, not the seniority, of our mentor pool.</p>	<p>ACTION COMPLETE AND EMBEDDED</p>
<p>7.2</p>	<p>Action 6 In 2011 and 2013, we took part in CROS but there was a disappointingly low level of participation (16%). We reviewed how we encourage participation and saw improved participation (30%) in 2015. Participation rate fell again to 18% in 2017. We investigated the reasons for this. One cause appeared to be 'survey fatigue'. However, we also saw reduced promotion of the survey because of a failure in our communication strategy. This was discussed at University and Faculty RKECs during 2017 and actions to address this in 2019 agreed. A: Clearly identify, through HR records, research-only staff who should be invited to participate. Actively engage Research Managers in publicising CROS to researchers in their Faculties with a clear explanation to researchers of the benefits of taking part. Deliver CROS in 2019 with a target participation rate of at least 30%.</p>	<p>Our improved communication strategy resulted in a response rate of 51% (45 out of a population of 88 researchers) in CROS 2019, considerably exceeding our target of 30%. CROS findings were overwhelmingly positive, were discussed at University and Faculty RKECs, and an action plan agreed. We have emailed all researchers with a summary of CROS findings, and actions, and they were invited to a discussion forum.</p> <p>As we are currently implementing our actions based on feedback from CROS 2019, and were not expecting another survey until 2021, we have decided not to engage in the new Culture, Employment and Development in Academic Research Survey (CEDARS) in 2020. However, we are fully committed to engage in CEDARS going forward, and aim to maintain this high level of engagement with it.</p>	<p>Updated Action 6 A: Clearly identify, through HR records and research managers research-only staff and PIs who should be invited to participate. Actively engage Research Managers in publicising CEDARS to staff in their Faculties with a clear explanation to researchers/Pis of the benefits of taking part. Deliver CEDARS in 2022 and 2024 with a target participation rate of at least 40-50%. L: Mrs Jennie Cripps, Researcher Development Co-ordinator, and Faculty Research Managers. S: At least 40-50% participation rate in CEDARS 2022 and 2024.</p>

	<p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator, Professor Susan Brooks, Director of Researcher Development, and Faculty Research Managers.</p> <p>S: 30% or higher participation rate in CROS 2019</p>		
<p>1.2 1.4 6.1-6.10 7.5</p>	<p>Action 7 The University was awarded institutional Athena SWAN 'Bronze' in 2012. The Faculty of Health and Life Sciences (HLS) achieved Departmental 'Silver' in April 2014, the first of our four Faculties to do so. In 2018, we were working towards all Faculties holding awards. A: Institutional 'Bronze' renewal, application in April 2020. L: Institutional award self-assessment team headed by Professor Linda King, PVCOR. S: Retention of Institutional Bronze' award under new charter.</p> <p>A: HLS applied for renewal of their award in April 2018; if 'Silver' is achieved in 2018, HLS will apply for 'Gold' in 2022. L: HLS steering group headed by Professor Susan Brooks S: Retention of Departmental 'Silver' award in November 2018; award of 'Gold' in 2022.</p> <p>A: Faculty of Technology, Design and Environment (TDE) application for renewal of Departmental 'Bronze' under the new charter, November 2020. L: TDE self-assessment team led by Mr Sean Wellington, AD Strategy & Development S: Retention of Departmental 'Bronze'</p> <p>A: Faculty of Humanities and Social Sciences (HSS) application for Departmental 'Bronze' under the new charter, November 2019 L: HSS self-assessment team led by Mrs Michelle Montgomery, AD Strategy & Development S: Award of Departmental 'Bronze'</p> <p>A: Faculty of Business application for Departmental 'Bronze' under the new charter, April 2019 L: Business self-assessment team led by Mr Andrew Halford, AD Strategy & Development S: Award of Departmental 'Bronze'</p>	<p>Our participation in Athena SWAN https://www.ecu.ac.uk/equality-charters/athena-swan/ has continued as actioned and we plan that all four Faculties will hold awards by 2021.</p> <p>We are working towards application for renewal of Institutional 'Bronze' in November 2020 as part of a pilot 'light touch' scheme for those who previously achieved their awards under the new Charter.</p> <p>HLS successfully renewed their 'Silver' award in 2018 and have actioned to work towards renewal of 'Silver' in 2022.</p> <p>TDE are working towards renewal of their 'Bronze' award, as actioned.</p> <p>HSS applied for 'Bronze' under the new charter, November 2019, as actioned</p> <p>Business are working towards a 'Bronze' award, as actioned.</p> <p>Our commitment to Athena SWAN is embedded.</p> <p>In CROS 2019 we exceeded the sector average on agreement with <i>all</i> of the statements in section 2.5 Equality and Diversity. For example, 98% believed that we are committed to equality and diversity (87% sector average); 89% said that we promote better mental health and well-being at work (62% sector average) and 84% were satisfied with their work-life balance (68% sector average).</p>	<p>Updated Action 7 A: Institutional 'Bronze' renewal, application in November 2020. L: Institutional award self-assessment team headed by Professor Linda King, PVCOR. S: Retention of Institutional 'Bronze' award under new 'light touch' pilot</p> <p>A: HLS apply for renewal of their 'Silver' award in April 2022. L: HLS steering group headed by Dr Astrid Schloerscheidt, PVC/Dean HLS S: Retention of Departmental 'Silver' award in 2022.</p> <p>A: TDE application for renewal of Departmental 'Bronze' under the new charter, November 2020. L: TDE self-assessment team led by Mrs Sally Wells, Head of Operations S: Retention of Departmental 'Bronze' in 2020.</p> <p>A: Business application for Departmental Bronze' under the new charter, April 2020. L: Business self-assessment team led by Mr Andrew Halford, AD Strategy Development. S: Award of Departmental 'Bronze' in 2020.</p>
	Action 8 was complete and embedded at our 2018 review, and did not appear on our 2018 action plan		
7.5	Action 9	The 2019/20 equality impact assessment indicates that there have not been any significant changes since the	A: Most recent assessment to be reviewed and actions recommended if appropriate. A further equality impact

	<p>Our workload pan (WLP) audit was underway in preparation for the next REF. A: Introduce an annual analysis of research allocations within WLP model to identify if there are any biases by protected characteristics. If biases are identified, put a corrective action plan into place L: Mrs Alison Cross, Director of HR, December annually S: Data analysis for next REF reveals no evidence of bias.</p>	<p>2018/19 assessment. As in 2018/19, the available data suggests that the selection procedures defined in the code of practice will not disproportionately impact particular groups when all relevant factors are taken into account.</p>	<p>assessment to be carried out when the final REF population and submission data is available, end of November 2020. That assessment will review the findings of the interim assessments, draw conclusions on the final submission data and, if any overall bias is identified, will set out the actions to be taken to remove this going forward. L: Professor Linda King PVCr, Chair of REF Steering Group; Mrs Ruth Davies, Director of HR. S: Analysis completed. If any overall bias is identified, corrective action plan developed and put into place.</p>
<p>2.2 2.4 3.1-3.9 4.10 4.11 4.13 5.2</p>	<p>Action 10 Our Research and Knowledge Exchange Strategy 2015/16-2020/21 http://www.brookes.ac.uk/aboutbrookes/strategy-2020/research-and-knowledge-exchange-strategy was nearing its end. A: Review and action planning for update of Strategy to be considered at an RKEC Away Day to which research leads, ECR representatives and Professors from all Faculties will be invited, October 2018, working towards review and update of the strategy in 2021. L: Professor Linda King, PVCr S: Updated Research and Knowledge Exchange Strategy launched in 2021.</p>	<p>There has been an extensive and inclusive consultation process, involving input from researchers. Our new Research and Knowledge Exchange Strategy 2021-2035 is in draft and currently out for consultation. The 'vision' for 2021-35 will be delivered across 5-year discreet packages, and is based on 4 'pillars': (1) 'research and innovation', (2) 'people and culture', (3) 'partnerships and place' and (4) 'education and enterprise'.</p>	<p>Updated Action 10 A: Completion of consultation, Strategy agreed by end of academic year, July 2020. L: Professor Linda King, PVCr. S: Updated Research and Knowledge Exchange Strategy 2021-2035 launched in 2021.</p>
<p>2.3 2.6 3.3 3.6 3.8 3.9 4.12</p>	<p>Action 11 In 2014, it was determined that not all newly-appointed research-active staff were being identified in order that they could be invited to attend our long established 'Your First Three Years' development programme for newly-appointed research-active staff (including, but not exclusively, research-only staff) http://www.brookes.ac.uk/research/research-support/training-events/ We reviewed mechanisms by which newly-appointed research-active staff were identified and improved the mechanisms through which they are invited to attend the programme. However, in 2015-16, take up rates were 21 out of 80 invited (27%); in 2016-17, 36 out of 93 invited (39%). In 2018, we felt confident that we were identifying and inviting the right people. We now wished to concentrate on understanding the barriers to staff attending so that we could address them. A: We will continue to monitor attendance, beginning June 2018 after the second run of the 'induction' session, and annually in June thereafter. Non-attenders will be sent an email inviting them to the next</p>	<p>We conducted a questionnaire survey of all those invited and who had not attended in order to establish if there were common barriers to attendance. A broad range of valid reasons were given (e.g. clash with external conference, clash with teaching or marking, sickness etc) and it was not possible to identify major avoidable issues that we could address. However, we will attempt to alleviate some of the issues by developing core on-line modules, and broadening the range of times/days when events are run to broaden flexibility.</p> <p>We continue to feel confident that we are now identifying all eligible staff, inviting them, and following up on non-attendance.</p> <p>This has resulted in a marked increase in numbers attending – for example, in 2015-17, attendance levels were around 10-20 people at each session; this has now risen to 40-60 attendees at each session.</p> <p>During February 2017-February 2019, 135 research-active staff out of those 206 identified as eligible engaged with</p>	<p>Updated Action 11a A: We will continue to monitor attendance at all 'Your First Three Years' sessions and follow up on non-attenders, inviting them to the next run of the programme. Ongoing. L: Mrs Jennie Cripps, Researcher Development Co-ordinator S: Gradual further improvement in attendance figures such that 80% of those eligible overall are engaging with the programme by May 2024.</p> <p>Updated Action 11b A: As part of EXPLORE@Brookes (Action 3e), diversify times/dates that face to face sessions are hosted, from September 2020; develop on-line modules for some core elements of the programme, September 2021-August 2022. L: Professor Susan Brooks, Director of Researcher Development; Mrs Jennie Cripps, Researcher Development Co-ordinator.</p>

	<p>run of the programme and asking for feedback on why they did not attend. L: Mrs Jennie Cripps, Researcher Development Co-ordinator S: Attendance figures improve (from, currently, a baseline of around 40%) and we establish a more detailed understanding of barriers to attendance.</p>	<p>the scheme, giving an overall take up rate of 66%; 43 of the 59 eligible research-only staff attended, giving a take-up rate of 73%.</p> <p>We recognised in early 2020 that we have a small number of (mostly international) visiting Research Fellows who, because they are funded by external sources, do not appear in HR records and may not always be invited to training.</p>	<p>S: Face to face sessions run at different times/days, beginning September 2020; on-line modules rolled out during academic year 2021-22.</p> <p>Updated Action 11c A: Identify externally-funded visiting Research Fellows and add them to the researcher database with immediate effect L: Mrs Jennie Cripps, Researcher Developer Co-ordinator; Faculty Associate Deans for Research; Faculty Research Managers. S: All externally funded visiting Research Fellows invited to 'Your First Three Years' sessions and other development opportunities aimed at researchers.</p>
<p>3.2-3.4 4.10 5.4 5.5</p>	<p>Action 12 In 2013-14, as a result of review of careers provision for researchers, an enhanced programme of events was offered. As part of this offering, a very successful university-wide 'researcher careers pathways' event ran in January 2014, and has continued as a biennial event. A: The 'researcher careers pathways event' will continue as a biennial event, January 2016 and two-yearly thereafter. L: Mrs Jennie Cripps, Researcher Development Co-ordinator. S: >100 registrants and >90% report in feedback that they would 'recommend it to others'.</p>	<p>In January 2020 we ran the fourth in a biennial series of 'researcher careers pathways' events, with the theme of 'identity' featuring an external consultant as facilitator and 'expert panels' of alumni and external guests from academic and non-academic careers discussing 'managing your life' and 'managing your career'. There were 96 registrants, including 28 research-only staff (representing approx. 30% of our researchers). 100% of those providing feedback agreed that they 'would recommend it to others'.</p> <p>CROS 2019 data illustrated that 80% of our researchers expect to work in a career in HE involving research, long term. One CROS 2019 action was to spotlight careers outside of academia at the January 2020 event. Free text feedback from delegates cited their next steps, as a result of attending the event, to be: broadening their career options to include those outside of academia; making time to reflect on self-limiting beliefs; re-evaluating current goals; taking more opportunities; taking bold steps in trying out new things and staying positive and optimistic about the future.</p> <p>Having run highly rated, well received and successful 'careers pathways' events biennially since 2014, this is now an embedded part of our researcher development provision and will continue.</p>	<p>ACTION COMPLETE AND EMBEDDED</p>
<p>5.1 5.3</p>	<p>Action 13 We had reviewed our training provision for researchers on research 'research integrity' and were planning to invest in an on-line training package of six 'modules' covering (1) Introduction to research integrity and the responsible and ethical conduct of research (2) Ethical</p>	<p>Provision of the on-line integrity package was delayed because introduction of new GDPR rules meant that the provider needed to develop extra modules.</p> <p>UKRIO https://ukrio.org/ have now announced their intention to release an equivalent on-line integrity package,</p>	<p>Updated Action 13a A: 'Steering Group for Research Integrity, Research Improvement and Data Management to be established; research data manager in post and Steering Group active by the beginning of the 2020-21 academic year. L: Professor David Foxcroft, Steering Group Chair.</p>

	<p>approval and practice (3) Plagiarism and recycling of text and research outputs (4) Authorship (5) Collaborative research and data management and integrity (6) Peer review and publication ethics. We were working with our web team with a view to launch in January 2019. Engagement was planned to be a mandatory element of training for <i>all</i> researchers, but initially we aimed to engage newly appointed researchers undertaking the 'Your First Three Years' development programme.</p> <p>A: Launch new integrity on-line training package January 2019. Review of engagement with the training package, January 2021. Feedback on users' experience of the package gathered through focus group discussion at the final 'Your First Three Years' session, March 2021.</p> <p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator, Professor Susan Brooks, Director of Researcher Development.</p> <p>S: Integrity on-line training package is 'live'. Review of participant feedback in focus groups indicates ease of navigation, relevance of content, and improved awareness of integrity issues and good practice. Baseline engagement levels with the package are established as a starting point for future development.</p>	<p>and this plus 'live' workshop(s) will be integrated, as a mandatory element, into the new EXPLORE@Brookes framework, as will training to support applications for ethics approval (see action 3e).</p> <p>As part of our commitment to supporting and improving research integrity and good management, we are establishing a University-wide 'Steering Group for Research Integrity, Research Improvement and Data Management' which will oversee, support and deliver training on matters including, for example, open access and data management. The PVCR has committed funds to invest in a senior academic to lead the Steering Group and a FT research data manager to support the post.</p>	<p>S: Working group established and operational in time for the beginning of the 2020-21 academic year; 0.5FTE Administrator, recruited from contract research staff, in post.</p> <p>Updated Action 13b A: Develop modules on navigating the University research ethics approval process, research integrity and data management as part of EXPLORE@Brookes (Action 3e), beginning September 2020. L: Professor David Foxcroft, Chair of Steering Group for Research Integrity, Research Improvement and Data Management S: Modules launched during academic years 2020-21 and 2021-22 as part of EXPLORE@Brookes.</p>
New Actions		Reason / background to new actions	
Principle 7		<p>A new Concordat to Support the Career Development of Researchers launched September 2019.</p> <p>The new Concordat was presented to University RKEC in October 2019 to highlight the new key defining principles and responsibilities and flag the introduction of a minimum of 10 days professional development quota pro rata each year for researchers. The Committee actioned to sign up to the Concordat in May 2020 so that our HREiR action plan and new Concordat action plans are aligned going forward.</p>	<p>New Action 14 A: Oxford Brookes University to become a signatory to the new Concordat in May 2020; new Concordat and HREiR action plans are aligned going forward. L: Professor Susan Brooks, Director of Researcher Development and Professor Linda King, PVCR. S: Oxford Brookes University is a signatory to the Concordat; Action plan approved Faculty and University RKEC and published by May 2021.</p>
2.3 3.6 6.1 6.10 Principle 7		<p>In CROS 2019, whilst there were no comparisons with the sector, we noted that our researchers had a generally poor level of knowledge of UK initiatives relevant to research staff. For example,</p> <ul style="list-style-type: none"> - Only 7% said they had some understanding of the Race Equality Charter and 61% had never heard of it. - Only 9% said they had some understanding of the Concordat to Support Research Integrity and 67% had never heard of it. - Only 18% said that they had some understanding of the HREiR Award and 45% had never heard of it. 	<p>New Action 15 A: increase awareness and highlight relevance of external frameworks at university training events, through the new EXPLORE@Brookes framework (Action 3e), through greater prominence/visibility on university web pages (Action 3a) and at induction. L: Professor Susan Brooks, Director of Researcher Development; Mrs Jennie Cripps, Researcher Development Co-ordinator; Faculty Research Managers S: Scores improved in CEDARS 2022 and 2024 by at least 5-10% in comparison to CROS 2019.</p>

6.1 6.3 6.4 6.8 7.5		As part of our preparations for REF, we have become increasingly aware of how the use of metrics may adversely affect some groups of staff, including ECRs. We established a DORA working group who met for the first time in February 2020, and which includes researcher representation.	See also Action 1. New Action 16 A: Task & Finish group to work towards the University becoming signatories to DORA https://sfdora.org/ by July 2020. L: Professor David Evans, Academic Lead for DORA working group S: University becomes a signatory to DORA.
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List of abbreviations

ADRKE - Associate Dean, Research & Knowledge Exchange

BAME – Black, Asian and Minority Ethnic

CEDARS - Culture, Employment and Development in Academic Research Survey

CPD – Continuing Professional Development

CROS – Careers in Research On-line Survey

DORA – (San Francisco) Declaration On Research Assessment

ECR – Early Career Researcher

EPSRC – Engineering and Physical Sciences Research Council

EXPLORE@Brookes -- EXcellence in Promoting Leadership Of Research and Education at Brookes (development framework)

FTE – Full Time Equivalent

GDPR – General Data Protection Rules

HE – Higher Education

HLS – (Faculty of) Health and Life Sciences

HR – Human Resources

HREiR – HR Excellence in Research

HSS – (Faculty of) Humanities and Social Sciences

OCSLD – Oxford Centre for Staff Learning Development

PDR – Performance and Development Review

PDRA – Post-Doctoral Research Assistant

PGRA – Post-Graduate Research Assistant

PI – Principal Investigator

PVC – Pro-Vice Chancellor

PVCR – Pro-Vice Chancellor for Research

RDF – (Vitae's) Researcher Development Framework

REF – Research Excellence Framework

RKEC – Research and Knowledge Exchange Committee

STEMM – Science, Technology, Mathematics and Medicine

TDE – (Faculty of) Technology, Design and Environment

UKRIO – United Kingdom Research Integrity Office

WLP – Workload Plan