

‘HR Excellence in Research’ – Revised Gap Analysis and Action Plan –

Oxford Brookes University

2 year review, May 2014

The first column lists the clause numbers in the ‘Concordat’ to which each action relates.

Time frames for actions are stated clearly whenever possible. Where time frames are not stated it is because this is not possible for that particular action.

| Action related to Concordat clause number | Description of action defined in 2012 ‘gap analysis & action plan’ (leads / date by) | Progress since 2012 and comments | Strategy going forward: action (leads / date by) |
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| 1.1 5.2 | The Research and Knowledge Transfer Strategy 2010 - 2015 http://www.brookes.ac.uk/about/strategy/development/docs/rkts2010-15.pdf will be reviewed and updated in 2015. (Chair of RKEC / 2015 onwards) | No action required until 2015. | The Research and Knowledge Transfer Strategy 2010 - 2015 http://www.brookes.ac.uk/about/strategy/development/docs/rkts2010-15.pdf will be reviewed and updated in 2015. (Chair of RKEC / 2015 onwards) |
| 1.2 1.4 | The University's recruitment and selection policy and procedure http://www.brookes.ac.uk/services/hr/handbook/recruitment/policy_procedure.html will continue to be reviewed and updated regularly. (Bob Price, Director of HR / ongoing) | Bob Price, Director of HR has retired. His replacement is Alison Cross. | The University's recruitment and selection policy and procedure will be reviewed and updated by end of August 2014 and two-yearly thereafter. (Alison Cross, Director of HR / ongoing) |
| 1.2 1.4 | All members of all interview panels at the University must first attend recruitment and selection training and a training refresher course every 3 years which includes extensive guidance on Equality and Diversity. We will continue to monitor compliance and ensure that all panel members receive training. (Bob Price, Director of HR / ongoing) | Compliance monitoring & training has been ongoing. Bob Price, Director of HR has retired. His replacement is Alison Cross. | We will continue to monitor compliance and ensure that all panel members receive training. (Alison Cross, Director of HR / ongoing) The Chair of the panel is responsible for giving individual feedback to all unsuccessful internal candidates, and external applicants if requested. |
| 1.2 6.3 7.5 | We will continue to produce an annual Equality & Diversity report - and act on any issues that are highlighted. (Bob Price, Director of HR / ongoing) | Annual reports have been produced. These can be viewed at http://www.brookes.ac.uk/services/hr/eod/reports/ . Bob Price, Director of HR has retired. | We will continue to produce an annual Equality & Diversity report based on data collected at a reference point of 31 st July each year and act on any issues that are highlighted. The report will be published in October / November each year. (Elaine Dagnall, HR / ongoing) |
| 1.3 | We will continue with our practice that when fixed term post jobs are advertised, justification for why it is a fixed term post is included. (Bob Price, Director of HR / ongoing) | This has continued as planned. Bob Price, Director of HR has retired. His replacement is Alison Cross. | We will continue to do this. (Alison Cross, Director of HR / ongoing) |
| 1.3 2.1 2.2 2.4 | Central research funds will continue to be used as bridging funds. (Alistair Fitt, PVCR / ongoing) | This has continued as planned. | Central research funds will continue to be used as bridging funds. (Alistair Fitt, PVCR / ongoing) |

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| 1.3 2.1 2.2 4.10 | The University's Code of Practice for the Career Management and Development of Researchers will be reviewed and updated. (Susan Brooks, RTC and Bob Price, Director of HR / by end Jul 2012) | This has been done. The new policy can be found at http://www.brookes.ac.uk/Documents/Research/Policies-and-codes-of-practice/carman/ | Action completed. |
| 2.3 2.6 3.1 5.4 7.1 | The Faculty of Health & Life Sciences will develop a policy document and procedures to advise managers of research teams regarding performance management, including career development guidance, and supervision of those who work in their teams. (Linda King, Associate Dean FHLS / end of Sept 2012) Once piloted and developed within the Faculty it will be rolled out to the rest of the University. (Chair RKEC / Second half of academic year 2012-13 onwards) | The document has been prepared and is currently being piloted within the FHLS, a little later than planned. | Review effectiveness of document through focus group feedback and revise if necessary. (Linda King, Associate Dean FHLS / Dec 2014) Once piloted within FHLS it will be rolled out to the rest of the University. (Chair RKEC / first quarter 2015 onwards). Review effectiveness. (Chair RKEC / Dec 2017) |
| 2.3 3.3 3.6 4.11 | The 'your first three years' programme for newly appointed research active staff http://www.brookes.ac.uk/res/support/training/academic will be reviewed & revised. (working group headed by Bob Price, Director of HR / Review underway. Revised programme begins Oct 2012) | The programme has been reviewed and revised. Feedback was from participants during 2012-13. It was determined, however, that not all newly appointed research active staff were being identified by HR. Induction, part of the 'your first three years' programme was separately reviewed and revised in view of the University's restructuring (Susan Brooks, RTC & Sarah Taylor, RBDO). | HR to review mechanisms by which newly appointed research active staff are identified. (Claire Morris, HR / Dec 2014) Success will be measured by improved take up of 'your first three years' programme in 2014-15 academic year and reviewed in July 2015. (Susan Brooks, RTC) |
| 2.3 3.3 4.11 | Research leadership course to be developed and run annually to support research leaders in their roles. (Alistair Fitt, PVCr / ongoing). | This has happened as planned. | A research leadership course – details at http://www.brookes.ac.uk/services/ocslsd/staffcourses/ssdp/research.html will continue to be run annually. Dates vary (Alistair Fitt, PVCr / ongoing). |
| 2.4 | The University will continue to implement its redeployment policy http://www.brookes.ac.uk/services/hr/handbook/recruitment/related_policies_procedures/redeployment/ to support researchers at the end of fixed term contracts. (Bob Price, Director of HR / ongoing) | Bob Price, Director of HR has retired. His replacement is Alison Cross. | The University will continue to implement its redeployment policy to support researchers at the end of fixed term contracts. (Alison Cross, Director of HR / ongoing) |
| 3.1 | The University's will seek re-accreditation of its Investors in People (IiP) Gold Status in 2013. | The University received re-accreditation of Investors in People (IiP) Gold Status in Dec 2013. | Action completed. |
| 3.2 3.4 3.5 | Careers advice provision specifically for researchers will be reviewed and enhanced, and Faculty based (subject specific) careers events will be developed. (Dan Ferrett, Careers Service / | Dan Ferrett left the Careers Service in Summer 2013. His temporary replacement was John Kerwen. John Kerwen and Jo Moyle | |

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| | academic year 2012-13) | (also of the Careers Service) reviewed careers provision and an enhanced programme of events was offered in 2013-14. It was decided that rather than Faculty-based (subject specific) careers events, that a University wide 'researcher careers pathways' event with subject specific 'strands' would be run in January 2014. This was very successful. | University-wide careers event to be repeated in Jan 2016. (Working group headed by Jennie Cripps, Research Manager, FHLS) |
| 3.2 | We will seek to raise awareness of careers advice provision for researchers. (Susan Brooks, RTC & Dan Ferrett, Careers Service / academic year 2012-13) | Dan Ferrett left the Careers Service in Summer 2013. His temporary replacement was John Kerwen. Awareness of careers events for researchers, including the annual 2-day 'skills summer school' and the 'researcher careers pathways' event, has been enhanced by clearer 'signposting' on the University webpages, for example, the Graduate College 'training events' pages http://www.brookes.ac.uk/students/research-degrees-team/current-students/research-students/graduate-college-training-events/ | Success of awareness-raising will be measured by attendance at careers events during the 2013-14 and 2014-15 academic years and reviewed in July 2015. (Susan Brooks, RTC & Jo Moyle, Careers Service) |
| 3.8 4.14 5.4 7.1 | Develop a mentoring scheme specifically for researchers. (Linda King, Associate Dean FHLS, on behalf of the Associate Deans Group / New scheme to begin Sept 2012) | Mentoring scheme developed and launched by Susan Brooks, RTC, in Apr 2013. Currently in its second year https://www2.brookes.ac.uk/research-support/mentoring | Scheme to be reviewed annually every April through participant feedback. (Susan Brooks, RTC / ongoing) |
| 3.9 | Review and update of Faculty Learning and Development plans post re-structure. (Chair of RKEC / By Sept 2012) | Faculty Learning and Development have been reviewed and updated annually. | Faculty Learning and Development plans will continue to be reviewed and updated annually by September each year. (Faculty leads for staff development / ongoing) |
| 4.13 | In view of the University restructuring, we will review the mechanisms by which researcher input is disseminated (Alistair Fitt, PVCr / Agenda item RKEC's during academic year 2012-13) | Researchers form part of the membership of all University, Faculty and Departmental Committees under the new University structures. | Action completed. |
| 4.13 7.2 | Encourage greater participation in CROS, mediated through Faculty research leads. (Chair of RKEC / CROS 2013) | Researcher feedback was collected through CROS in 2013, but there was a similarly disappointingly low level of research staff participation (16%). | Review how we encourage participation and attempt to achieve a more representative sample of views in 2015. (Chair of RKEC, beginning at Oct 2014 RKEC meeting). Success will be measured by improved |

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| | | | <p>participation in CROS 2015.</p> <p>Take part, for the first time, in PIRLS. (Jill Organ, Graduate College / 2015)</p> |
| 5.1 5.3 | <p>We will continue to review the University's Code of Practice for Academic Integrity http://www.brookes.ac.uk/res/policy/academic_integrity.pdf on a regular basis. (Alistair Fitt, PVCR / ongoing)</p> | <p>The University's Code of Practice for Academic Integrity was reviewed and revised at the end of 2012.</p> | <p>We will continue to review the University's Code of Practice for Academic Integrity http://www.brookes.ac.uk/res/policy/academic_integrity.pdf on a regular basis. (Alistair Fitt, PVCR / ongoing)</p> |
| 5.3 | <p>This commitment to public accountability and open access is overseen by the University Research Ethics Committee (UREC) http://www.brookes.ac.uk/res/ethics/committee . We will continue to monitor compliance in terms of 'chasing' annual reports from those engaged in UREC-approved projects and reminding them of the importance of their public engagement obligations. (Chair of UREC / ongoing)</p> | <p>This has been happening as planned.</p> | <p>We will continue to monitor compliance in terms of 'chasing' annual reports from those engaged in UREC-approved projects and reminding them of the importance of their public engagement obligations. (Chair of UREC / ongoing)</p> |
| 5.3 | | <p>We have a new Data Management Policy http://www.brookes.ac.uk/research/policies-and-codes-of-practice/and a Position Paper on Open Access https://www2.brookes.ac.uk/research-support/open_access/index.html/.</p> | |
| 6.2 | <p>We will continue to monitor the success of the University's Recruitment and Selection Policy http://www.brookes.ac.uk/services/hr/handbook/recruitment/policy_procedure.html and will present data to the University Executive Board on a regular basis. (Bob Price, Director of HR / ongoing)</p> | <p>This has been achieved with presentations to University Executive Board annually.</p> <p>Bob Price, Director of HR has retired. Alison Cross is his replacement.</p> | <p>The University's recruitment and selection policy and procedure will be reviewed and updated by end of August 2014 and 2 yearly thereafter. (Alison Cross, Director of HR / ongoing)</p> |
| 6.4 6.10 | <p>We will work to achieve Athena Swan 'bronze' status. (Working group headed by Linda King, Associate Dean FHLS / July 2012)</p> | <p>We have been awarded University Athena Swan 'bronze' status.</p> | <p>FHLS are working to achieve Faculty 'silver' status (Linda King, Associate Dean FHLS / application planned Nov 2014)</p> <p>TDE are working to achieve Faculty 'bronze' status. (Georgia Butina-Watson, Head of Department of Planning, TDE / application March 2014).</p> <p>We will re-apply for University 'bronze' status. (Linda King, Associate Dean FHLS /Apr 2016)</p> |
| 6.9 | | <p>We have a new 'Dignity and Respect at Work' policy. http://www.brookes.ac.uk/services/hr/handbook/problems/dignity_respect_policy.html/</p> <p>All Bullying & Harassment advisors receive training organised by OCSLD.</p> | |

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| 7.1 7.2 | Compliance with the Concordat and implementation / progress with this Action Plan will become a standing item in University RKEC agendas and will be formally reviewed annually. (Chair of RKEC / from beginning of 2012-13 academic year and ongoing) | This has been done. | Compliance with the Concordat and implementation / progress with this Action Plan will continue to be a standing item in University RKEC agendas and will be formally reviewed annually at the Feb RKEC meeting. (Chair of RKEC / ongoing) |
| 7.4 | A range of senior University staff will regularly attend VITAE events that assist in realising the potential of researchers. The University Research Training Co-ordinator will continue to be an active member of the SE Hub and participate in meetings and training events. | This has happened with, for example, the University Research Training Co-ordinator, Susan Brooks, attending the Vitae annual conference in Manchester in 2012 and 2013 and regularly attended SE hub meetings. | A range of senior University staff will regularly attend VITAE events that assist in realising the potential of researchers (Alistair Fitt, PVCR / ongoing) The University Research Training Co-ordinator will continue to be an active member of the SE Hub and participate in meetings and training events. (Susan Brooks, RTC / ongoing) |
| 7.5 | Equality impact assessment is a requirement for the REF process and data collection is underway. (Andrew Willis, HR / Ongoing until Apr 2013) | This has been completed. | Action completed. |

Abbreviations:

CROS – Careers in Research Online Survey

FHLS – Faculty of Health & Life Sciences

HR – Human Resources

OCSLD – Oxford Centre for Staff Learning Development

PIRLS – principle Investigators and Research Leads Survey

PVCR – Pro Vice Chancellor for Research & Knowledge Exchange

RBDO – Research and Business Development Office

REF – Research Excellence Framework

RKEC – Research & Knowledge Exchange Committee

RTC – Research Training Co-ordinator

TDE – (Faculty of) Technology, Design and Environment

UREC – University Research Ethics Committee