

**Plymouth University**

**European Commission HR Excellence in Research: Action Plan**

Plymouth University achieved the European Commission HR Excellence in Research Award on 5<sup>th</sup> September 2011. This Award reflects our commitment to the principles of the **Concordat to Support the Career Development of Researchers**.

Following the successful award, an 'HR Excellence in Research Steering Group' was established to review, update and progress our on-going commitments. This steering group currently comprises of the Dean of Research and Innovation, Head of the Graduate School, Head of Research Support and Development, Researcher Development Programme Manager, Organisational Development Manager (HR) and the Researcher Forum representative to the Research and Innovation Committee.

The following Action Plan details our progress and future work in supporting Researchers at Plymouth University:

Recruitment and Selection	Concordat Principle	Update August 2013	2013 - 2015 Actions
<p><b><u>Selection and Transparency</u></b></p> <p>A review of our existing policy and procedures as a result of a Recruitment and Selection audit in 2009 (Mazars 2009) has resulted in us now having a robust and consistent approach to the constitution of selection panels.</p> <p><b>Actions:</b></p> <p>As part of the appraisal review we will clarify career development expectations/pathways/responsibilities within the future Performance Development Policy. Once clarified will link into the revised Recruitment and Selection Policy.</p>	<p>1, 6</p> <p>Lead: HR Sept 2012</p>	<p><b>Achieved 2012</b></p> <p>The Recruitment &amp; Selection process has been further refined to streamline the procedural aspect and utilise e-recruitment.</p> <p>Performance Development Review (PDR) was launched in September 2011, replacing the old appraisal process. The revised PDR is integrated with the University's planning cycle and will also work in tandem with the talent review &amp; academic promotions.</p> <p>As part of the HR strategy the following projects will also build on the "selection and transparency", "recruitment" as well as "recognition of mobility experience" aspects of the concordat.</p>	<p>CROS 2013 highlights the PDR process needs to be embedded further for researchers at Plymouth University. CROS 2013 notes 52% of Research Staff at Plymouth University participated in a staff appraisal in the last two years with a low satisfaction in the process. PIRLS 2013 additionally noted low satisfaction with the PDR process. Human Resources will focus on increasing participation, understanding and satisfaction in the PDR process by August 2015.</p> <p><b>Lead: HR August 2015</b></p>
<p><b><u>Recruitment</u></b></p> <p>The Recruitment and Selection policy mandates that all chairs and panel members must be trained before participating in a Recruitment and Selection panel.</p> <ul style="list-style-type: none"> <li>Recruitment and Selection policy – all chairs and panels members must be trained (online training package developed) before participating in a Recruitment and Selection panel (database of training compiled and interrogated for compliance all selection panels)</li> </ul>	<p>1, 6</p>	<p><b>Achieved 2011 – further work is on-going</b></p> <p>The Recruitment &amp; Selection policy will be revisited through the wider lens of Talent acquisition, recruitment &amp; retention (incl. international recruitment) (2012/13)</p> <p>The University's extranet recruitment pages have been redevelopment - further work is planned to ensure that the recruitment and selection practice is transparent to all potential applicants</p>	<p>From the CROS 2011 survey analysis it was noted the number of fixed-term contracts at Plymouth had increased some 10%, whilst the national average had decreased by 10%. HR investigated this finding and found that it was the result of an increase in successful funding bids across the University. CROS 2013 noted a minimal change. Monitoring of fixed-term contracts for Researchers to be on-going. <b>Lead: HR August 2015</b></p>

<p><b>Actions:</b></p> <p>HR has committed to undertaking and prioritising a full review of its recruitment policy and procedure as part of its HR Strategy. This review will continue to benchmark against the Code of Conduct for the Recruitment of Researchers to ensure future policy is fit for purpose in this aspect as well as meeting wider strategic HR needs of the University.</p> <p>Whilst our current recruitment policy and procedures have already been reviewed during 2010 we have moved in 2011 to an e-recruitment policy and the planned review of our Recruitment and Selection Policy and Procedure as outlined above will ensure we make any necessary adjustments in this area.</p>	<p>Lead: HR Dec 2011</p>		
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Recognition and Value	Concordat Principle	Update August 2013	2013 - 2015 Actions
<p><b><u>Public engagement</u></b></p> <p>In 2009 and following the outcome of RAE2008 the University implemented a review and revision of the organisation of its research Research Centres and Institutes which includes the responsibility for Public Engagement.</p> <p><b>University Research Centres Strategy and Procedures 2010-2013</b></p> <ul style="list-style-type: none"> <li>• The purpose of a University Research Centre (URC) is to support and encourage collaborative and interdisciplinary research of the highest quality that engages with regional, national, and international needs and provides the underpinning for specific research programmes and a high quality environment for research studentships.</li> <li>• URCs must engage in the dissemination and communication of research, including its translation into policy and the concerns of users, audiences, and the public.</li> </ul> <p>The University maintains an <b>Experts Directory</b> for Public Engagement managed by External Relations and Communications Services through its Press Office.</p>	<p>1, 3, 4</p>	<p><b>Achieved 2012 – further work is on-going</b></p> <p>Research and Innovation Strategy and Action Plan 2012 – 2015: Goal 7 – Enhance public engagement in, and understanding of research and innovation through a range of channels and media, including our community research awards scheme.</p> <ul style="list-style-type: none"> <li>• Public Engagement being implemented by senior levels of Plymouth University.</li> <li>• New Dean of Research is responsible for Public Engagement.</li> <li>• Research Centres pages in process of updating.</li> </ul> <p>Researcher Forum held 28<sup>th</sup> February 2012 discussed Public Engagement and made recommendations. The first public engagement ‘training’ session was held for PGRs and Research Staff on 8<sup>th</sup> November 2012. Delivered by PU and NCCPE. This training session is part of the Researcher Development Programme and will be held twice in 2013-2014.</p>	<p>Following the successful pilot Public Engagement training session in November 2012, training will be offered twice during 2013-2014. Public engagement training and opportunities for Researchers will be promoted and reviewed during the 2013-2014 Researcher Development Programme.</p> <p><b>Lead: Graduate School August 2014</b></p>

<p><b>Actions:</b></p> <p>Policy reviewed and amended 2011</p>	<p>Lead: PVC Apr 2013</p>	<p>The Researcher Development Programme has established public engagement opportunities with the University of the Third Age (Plymouth U3A).</p>	
<p><b><u>Recognition of mobility experience</u></b></p> <p>Our evolving HR Strategy advocates adopting a less traditional approach to professional development and more recognition in the power of experiential, informal and self-led development. Our Annual Appraisal System has been reframed into a Performance Development Framework to be launched in September 2011 will support all staff in this respect.</p> <p><b>Actions:</b></p> <p>Complete current project and inform revised Recruitment and Selection Policy accordingly.</p>	<p>1, 2</p> <p>Lead: HR Apr 2012</p>	<p><b>Achieved 2011</b></p> <p>Plymouth University signed up to EURAXESS “Researchers in Motion” network in December 2011 and advertise Research Fellowships and Studentships on the EURAXESS web site.</p>	<p>Plymouth University are a Local Contact Point for the British Council/EURAXESS “Researchers in Motion”. Opportunities to promote this network to be increased during 2013-2014. Plymouth to work with network members to improve awareness of this scheme. <b>Lead: Research Support &amp; Development / Graduate School December 2014</b></p>
<p><b><u>Value of mobility</u></b></p> <p>Research and Innovation Strategy 2009 - 2012, key theme 6 – we will identify mechanisms to encourage and promote greater engagement by leading researchers from other countries within the university and the region using for example IRNC (Integrated Research Networking and Collaboration).</p>	<p>2</p>	<p><b>Achieved 2012 – further work is on-going</b></p> <p>Research and Innovation Strategy and Action Plan 2012 – 2015: Goal 5 – Pursue appropriate research partnerships and collaborations with other universities and regional, national and international organisations and businesses.</p>	<p>Plymouth University are a Local Contact Point for the British Council/EURAXESS “Researchers in Motion”. Opportunities to promote this network to be increased during 2013-2014. Plymouth to work with network members to improve awareness of this scheme. <b>Lead: Research Support &amp; Development / Graduate School December 2014</b></p>
<p><b><u>Co-authorship</u></b></p> <p><b>R&amp;I Strategy 2009 - 2012</b> <b>Key theme 2</b> – to nurture, recognise and reward research talent and to ensure a dynamic and supportive environment to unlock the creativity and enterprise of staff and students. <b>University Code of Good Practice in Research</b> – Statement on the publication and authorship.</p> <p><b>Intellectual Property Policy</b> – recognition of joint recognition and ownership for the exploitation of intellectual policy. Section 4 Disclosure and third party IP – In cases where multiple innovators are identified an <b>Originator’s Form</b> is available for the relevant persons to fill in. This then forms a useful starting point to establish an agreement for the sharing between those multiple innovators of the innovators’ share of Net Revenue.</p>	<p>2</p> <p>2</p>	<p><b>Achieved 2012</b></p> <p>Researcher Forum held 7<sup>th</sup> April 2011 discussed “Authorship for research staff”. The resulting discussion was fed into the revision of the University’s Code of Good Practice in Research forming part of the Research Ethics Policy published in January 2013.</p> <p>The Plymouth University Commercialisation Strategy was published in September 2011 by PVC Regional Enterprise.</p>	<p>N/A</p>

<p><b>Actions:</b></p> <p>Authorship to be reviewed through the Research Staff Forum April 2011. Recommendations for review of Code of Practice to be made through the Research and Innovation Committee.</p>	<p>Lead: PVC Dec 2011</p>		
<p><b><u>Participation in decision-making bodies</u></b></p> <p>The University recognises the contributions made by its research community to the on-going operationalisation of its Research and Innovation Strategy and Research Staff and Research Students are involved in decision-making bodies through representation on the following Committees:</p> <p><b>Research and Innovation Committee</b> (sub-committee of Academic Board) Full representation of the research community (including Research Staff and Post-Graduates)</p> <p><b>Graduate Committee</b> (sub-committee of Academic Board) Staff and student representation</p> <p><b>Researcher Forums</b> Researchers have Forums for discussion – Research Staff Forum (instigated in 2008), Early Career Academics Forum (instigated 2010), Postgraduate Research Students Forum (instigated 2005) and report to Research and Innovation Committee and Graduate Committee through their representatives.</p> <p><b>Actions:</b></p> <p>Graduate Committee membership, Research and Innovation Committee membership Revised 2010 and kept under review.</p>	<p>2, 3, 4, 5, 6</p> <p>Lead: PVC, Graduate School</p>	<p><b>Achieved 2012</b></p> <p>R&amp;I Committee has representation from both Research Staff and PGRs.</p> <p>In 2012 change to the Terms of Reference of the University's Research and Innovation committee provided inclusion of the Researcher Forum representative on the committee. This person was also invited to join the HR Excellence Steering Group.</p> <p>Chair of Postgraduate Society represents postgraduates on Graduate Committee. Additionally one PGR and one PGT representative are part of the Committee. Postgraduate Research Students Forum is through the Postgraduate Society and includes representation for PGTs.</p> <p>Research Staff Forum and Early Career Academics Forum merged in 2011 into the Researcher Forum. Research Staff representative on R&amp;I Committee to continue to link with Researcher Forum and vice-versa.</p>	<p>Researcher Forum representative to the R&amp;I Committee and HR Excellence Steering Group to maintain on-going links and promote the activities of these three groups. Researcher Forum representative to brief the R&amp;I Committee meetings, maintain an equal input into the HR Excellence Steering Group meetings, participate in conferences and events related to Researchers.</p> <p><b>Lead: Researcher Forum representative August 2015</b></p>



<p><b>University Health and Safety Policy</b>  University <b>Codes of Practice</b> are available in the following areas:  Fire Prevention; Lone Working; Display Screen Equipment; Diving Part I and II; Manual Handling; Radiation; First Aid; Boat; Management of Hazardous Substances; Risk Management; working at Height (Estates &amp; Facilities Management); Water Hygiene (Estates &amp; Facilities Management)  Faculty/School Codes of Practice are available applicable to discipline e.g. Laboratory Practices; Field work;</p> <p>Faculty Safety Policies and Safety Committees are reviewed through annual safety reports.  <b>Data Protection and Freedom of Information Guidance</b> is available from HR and updated May 2009.</p> <p><b>Research Ethics Committee</b></p> <p><b>Actions:</b></p> <p><b>Health and Safety Policy</b> - Revised October 2010</p> <p><b>Code of Good Practice in Research</b> - to be reviewed 2011</p> <p><b>Records management policy</b> – to be reviewed 2011</p>	<p>Lead: OH&amp;S  Annual review</p> <p>Lead: PVC  Dec 2011</p>	<p>Safety Report is conducted annually by Plymouth University Safety Manager.</p>	
<p><b><u>Evaluation/ appraisal systems</u></b></p> <p>PU appraisal and development process.</p> <p><b>Actions:</b></p> <p>A University wide project is currently progressing and a new Performance Development Framework is due for launch as part of the HR Strategy evolution. Results from our 2010 Staff Survey indicated that our Researchers would value being more involved and that at times they had concerns in relation to workloads. This valuable feedback has underpinned our thinking in relation to the requirements of our revised approach to appraisal. Therefore our intended Performance Development Framework is a tool that will enable:</p> <ul style="list-style-type: none"> <li>• A core people process that promotes dialogue between managers and staff and creates clarity of purpose and focused development plans.</li> <li>• A core system that supports and feeds emerging talent management processes such as succession planning.</li> <li>• A tool that promotes focused development discussions drawing on relevant professional standards and frameworks including the VITAE Researcher Development Framework.</li> </ul>	<p>2, 3, 4</p> <p>Lead: HR Sep 2011</p>	<p><b>Achieved 2011 – further work is on-going</b></p> <p>Performance Development Review (PDR) was launched in September 2011, replacing the old appraisal process. The revised PDR is integrated with the University’s planning cycle and will also work in tandem with the talent review &amp; academic promotions.</p> <p>The biannual staff survey was administered in 2010; the 2013 survey is currently being analysed.</p>	<p>CROS 2013 highlights the PDR process needs to be embedded further for researchers at Plymouth University. CROS 2013 notes 52% of Research Staff at Plymouth University participated in a staff appraisal in the last two years with a low satisfaction in the process. PIRLS 2013 additionally noted low satisfaction with the PDR process. Human Resources will focus on increasing participation, understanding and satisfaction in the PDR process by August 2015.</p> <p><b>Lead: HR August 2015</b></p>

<p><b><u>Research environment</u></b></p> <p>UoP Staff Survey, CROS and PRES feedback has enabled us to establish the Research Staff Forum to ensure it meets the needs of this specific staff group. This has also led to the development of the Early Career Researchers' forum.</p> <p><b>Actions:</b></p> <p>Implement CROS, PRES, PIRLS and produce Action Plans in response to outcomes.</p>	<p>1, 2, 3, 4, 5, 6, 7</p> <p>Lead: Graduate School 2011</p>	<p><b>Achieved 2011 – further work is on-going</b></p> <p>PRES 2011 action plan reported to Graduate Committee and in Graduate School Annual Report and actioned.</p> <p>CROS 2011 findings were presented to the Researcher Forum on 2nd November 2011.</p> <p>Analysis of CROS and PIRLS 2011 completed in 2012 with findings discussed at the HR Excellence Steering Group meeting on 28<sup>th</sup> November 2012.</p> <p>PRES, CROS and PIRLS 2013 have been analysed by SERIO (Research &amp; Innovation) with full reports to be completed by September 2013.</p>	<p>The analysis and action plans of the 2013 CROS, PIRLS, PRES and Staff surveys will be reviewed and disseminated to the appropriate University Committees (including R&amp;I and Graduate Committees) and cohorts by June 2014.</p> <p><b>Lead: Research Support &amp; Development / Graduate School June 2014.</b></p>
<p><b><u>Working conditions</u></b></p> <p>UoP Staff Survey</p> <p><b>Actions:</b></p> <p>Future surveys to break down by staff category in order to understand Research staff perceptions.</p> <p>Enterprise Enabling Leadership Development Programme focuses on the role of leaders at PU to ensure they create an environment in which their staff can excel.</p> <p>Current dialogue across the Heads of Research Centres is determining the specific leadership requirements of researchers in order to enable a consistent experience for staff.</p>	<p>2, 3, 4</p> <p>Lead: HR Apr 2011</p>	<p>The last staff survey was in 2010; the 2013 survey is under analysis and the requirements of this action plan will be integrated.</p> <p>The Enterprise Enabling Leadership Programme was completed by 250 senior leaders by 2011. Since this, the University's PDR, a key vehicle for leadership, has been launched in September 2011. The PDR is rooted with Values Based Leadership Behaviours. Defining and refining of leadership structures and sub levels within Schools were also developed in tandem with the PDR project so that leadership could be stabilised, from which the PDR and leadership values could be embedded – this work has overtaken the need to work through the narrow lens of leadership within Research Centres as the projects have addressed leadership across the university.</p>	<p>The Plymouth University Staff Survey 2013 is under analysis with initial findings expected by November 2013. Research Staff feedback to be highlighted for dissemination to the HR Excellence Steering Group and Researcher Forum. <b>Lead: HR December 2013</b></p>
<p><b><u>Stability and permanence of employment</u></b></p> <p>Fixed term contract policy.</p>	<p>1, 2, 3, 4</p>	<p>The last staff survey was in 2010; the 2013 survey is under analysis and the requirements of this action plan will be</p>	<p>From the CROS 2011 survey analysis it was noted the number of fixed-term contracts at Plymouth had increased some 10%, whilst the national average had decreased by 10%. HR investigated this finding and found that it was the result of an increase in</p>

<p>Developing the communication and feedback culture of the University so that people understand clearly where they stand. Our evolving HR Strategy is developing enhanced management information services to enable managers to make informed, timely and appropriate decisions.</p> <p><b>Actions:</b></p> <p>Future Plymouth Staff surveys to break down by staff category in order to understand Research staff perceptions.</p>	<p>Lead: HR Dec 2011</p>	<p>integrated.</p>	<p>successful funding bids across the University. CROS 2013 noted a minimal change. Monitoring of Fixed-term contracts for Researchers to be on-going. <b>Lead: HR August 2015</b></p>
<p><b><u>Career development</u></b></p> <p>The Research Staff Forum was established following the 2008 Researchers' Concordat. This Forum meets three times throughout the academic year to discuss development opportunities and activities relating to the Concordat Principles. Staff Development policy including the right to request time for training procedure. <b>University Research Centres Strategy and Procedures 2010-2013</b></p> <ul style="list-style-type: none"> <li>• URCs must ensure effective career support for staff at all grades, contributing to the University HR policies and national Codes of Practice.</li> </ul> <p><b>Actions:</b></p> <p>Reviewed URC's annually and Staff Forum outcomes throughout academic year.</p> <p>Under review as part of the wider HR Strategy: Performance Development Framework to include the Researcher Development Framework.</p>	<p>3, 4</p> <p>Lead: HR, Graduate School, Research Support Team</p> <p>Lead: PVC July 2012</p>	<p><b>Achieved 2011 – further work is on-going</b></p> <p>Performance Development Review (PDR) was launched in September 2011, replacing the old appraisal process. The revised PDR is integrated with the University's planning cycle and will also work in tandem with the talent review &amp; academic promotions.</p> <p>University Research Centres Strategy already reviewed, latest version for 2010-13 approved by ECG 14/12/10.</p>	<p>A new Research Staff Development Programme has been drafted and will commence from September 2013 and is expected to support the University's Performance Development Review action plan for Research Staff, Principal Investigators and Research Managers. Programme to be reviewed annually.</p> <p><b>Lead: Research Support and Development December 2014</b></p>
<p><b><u>Teaching</u></b></p> <p><b>Teaching and Learning strategy 2009-2012</b> accredited by the Higher Education Academy (HEA)</p> <p><b>PGCertificate in Academic Practice (PGCAP)</b> accredited by the Higher Education Academy (HEA) – compulsory course for all new academic staff</p> <p><b>General Teaching Associate course (GTA)</b> – prerequisite for PGR students teaching within the University</p> <p><b>Guidelines on maximum teaching duties for PGR students</b> – Studentship procedures and regulations</p>	<p>3, 4</p> <p>Lead: Teaching and Learning Directorate and Graduate School July 2012</p>	<p><b>Achieved 2012</b></p> <p>Policy on Research students requiring training prior to teaching introduced in 2012.</p> <p>Teaching and Learning strategy 2009 – 2012 now replaced by the Teaching, Learning and the Student Experience Strategy 2013 – 2020.</p> <p>PGCAP revised the Research Management module in 2013.</p>	<p>N/A</p>

<p><b>Actions:</b></p> <p>PGCAP developed in 2010 following programme review of LTHE (Learning and Teaching in Higher Education) in 2009/10. Includes Good Practice in supervising research projects. Further updates 2012.</p>			
<p><b><u>Relation with supervisors</u></b></p> <p><b>Research Degrees Handbook (2011)</b> – regulations and guidance manual for the supervision and examination of research degrees</p> <p><b>Actions:</b></p> <p>Revised annually</p> <p><b>Good Supervisory Workshops</b> (2003)– compulsory for new supervisors of research students</p> <p><b>Research Degree Student Logbook</b></p> <p><b>Actions:</b></p> <p>Made compulsory in 2007 and being developed as online system for 2011/12. Graduate School and Graduate Committee 2011</p> <p><b>Procedures for Research Degree Programmes</b></p> <p><b>Actions:</b></p> <p>Faculty Procedures reviewed every 5 years (last reviewed 2010)</p> <p><b>Skills Development Programme for Research Students and Research Staff</b></p> <p><b>Actions:</b></p> <p>Revised annually. RDF mapping embedded in 2010. Continue developing opportunities for research staff and research students.</p> <p><b>Organisational Development Programme – Research Staff.</b> Dedicated web page for development and resources for Research staff. Links embedded to RDF and Concordat 2010.</p> <p><b>Actions:</b></p>	<p>3, 4, 5</p> <p>Lead: Graduate Committee</p> <p>Lead: Graduate School</p> <p>Lead: Graduate School Dec 2011</p> <p>Faculty PG coordinators</p> <p>HR and Graduate School 2011</p>	<p><b>Achieved annually</b></p> <p>Skills Development Programme renamed 'Researcher Development Programme' in September 2011. Dedicated training and development sessions for Research Staff commenced in February 2013.</p> <p>A new Research Staff Development Programme will commence from September 2013.</p> <p>OD programme contains good links to the Researcher Development Programme; Researcher Forum; HR Excellence in Research award; the Concordat to Support</p>	<p>N/A</p>

<p>Revised annually.</p> <p><b>PGCertificate in Academic Practice (PGCAP) and General Teaching Associate (GTA)</b> accredited by the Higher Education Academy (HEA)</p> <p><b>Actions:</b></p> <p>Revised from LTHE 2010. Directorate of Teaching and Learning and Graduate School to collaborate on developing further opportunities for research staff.</p>	<p>Lead: Teaching and Learning Directorate and Graduate School</p>	<p>the Career Development of Researchers; the Concordat for Public Engagement; Researcher Development Framework; Vitae; EURAXESS.</p> <p>Graduate School and Research Support &amp; Development Staff continue to deliver on the PGCAP Research Management Module.</p>	
<p><b><u>Supervision and managerial duties</u></b></p> <p>Plymouth Staff Survey</p> <p><b>Actions:</b></p> <p>Future surveys to break down by staff category in order to understand Research staff perceptions</p> <p><b>Postgraduate Research Experience Survey (PRES)</b> Participated in 2007, 2008 and 2009. Used survey results to support further support for research students - Action Plan 2010.</p> <p><b>Actions:</b></p> <p>Implement PRES 2011. Disseminate results and determine actions.</p> <p><b>Careers in Research Online Survey (CROS)</b> Participated in 2009 and 2010. Used survey results to support further development of research staff.</p> <p><b>Actions:</b></p> <p>Implement CROS 2011. Disseminate results and determine actions.</p> <p><b>Principal Investigators and Research Leaders Survey (PIRLS)</b></p> <p>Actions:</p>	<p>1, 2, 3, 4, 5, 6, 7</p> <p>Lead: Graduate School, Quality Support, HR Sep 2011</p> <p>Graduate School and Quality Support 2011</p> <p>Graduate School and HR 2011</p> <p>Lead: PVC,</p>	<p><b>Achieved 2012 – further work is on-going</b></p> <p>The last staff survey was in 2010; the 2013 survey is under analysis and the requirements of this action plan will be integrated.</p> <p>PRES 2011 action plan reported to Graduate Committee and in Graduate School Annual Report and actioned.</p> <p>CROS 2011 findings were presented to the Researcher Forum on 2nd November 2011.</p> <p>Analysis of CROS and PIRLS 2011 completed in 2012 with findings discussed at the HR Excellence Steering Group meeting on 28<sup>th</sup> November 2012.</p> <p>PRES, CROS and PIRLS 2013 have been analysed by SERIO (Research &amp; Innovation) with full reports to be completed by September 2013.</p> <p>The Enterprise Enabling Leadership Programme was completed by 250 senior leaders in 2011. Since this, the University's PDR, a key vehicle for leadership, has been launched in September 2011. The PDR is rooted with Values Based Leadership Behaviours. Defining and refining of leadership structures and sub levels within</p>	<p>The Plymouth University Staff Survey 2013 is under analysis with initial finding expected by November 2013. Research Staff feedback to be highlighted for dissemination to the HR Excellence Steering Group and Researcher Forum. <b>Lead: HR December 2013</b></p> <p>The analysis and action plans of the 2013 CROS, PIRLS, PRES and Staff surveys will be reviewed and disseminated to the appropriate University Committees (including R&amp;I and Graduate Committees) and cohorts by June 2014. <b>Lead: Research Support &amp; Development / Graduate School June 2014</b></p>

<p>Implement PIRLS 2011. Disseminate results and determine actions.</p> <p>As part of our Enterprise Enabling Leadership Development Programme we are designing a specific module for our Principal Investigators and Research Centre Heads so that institutional as well as research specific leadership requirements are set out, developed and monitored and managed as part of the emerging Performance Development Framework.</p> <p>Our current people development strategy highlights the specific plans.</p> <p><b>Actions:</b></p> <p>Research Centre Leads Development Needs Workshop and follow-up.</p>	<p>HR and Graduate School Feb 2011</p>	<p>Schools were also developed in tandem with the PDR project so that leadership could be stabilised, from which the PDR and leadership values could be embedded – this work has overtaken the need to work through the narrow lens of leadership within Research Centres as the projects have addressed leadership across the university.</p>	
<p><b><u>Continuing Professional Development</u></b></p> <p>Leadership strategy outlines our shift to less traditional development routes.</p> <p>Self leadership is being developed as a core behaviour that is central to formal leadership for formal leaders but also to all staff so that they realise their full potential.</p> <p>VITAE 2010 Researcher Development Framework (RDF). Embedded in <b>Skills Development Programme for Research Students and Research Staff</b> and <b>Organisational Development Programme – Research Staff 2010</b> and <b>Performance Development Framework 2011</b>.</p> <p><b>Actions:</b></p> <p>Review regularly.</p>	<p>Lead: HR and Graduate School annually</p>	<p><b>Achieved 2011</b></p> <p>RDF is fully mapped to Researcher Development Programme.</p>	<p>New Research Staff Development Programme mapped against RDF rolled out from September 2013. Programme and to be closely monitored during its pilot year from September 2013.</p> <p><b>Lead: Research Support &amp; Development / Graduate School August 2014</b></p>
<p><b><u>Access to research training and continuous development</u></b></p> <p>The Researcher development page is available on the Organisational Development community webpages. Additionally Researchers can access the Graduate School researcher development pages. Full programme of researcher development open to all postgraduate students and research staff.</p> <p>The revised approach to appraisal outlined in the Performance Development Framework will be the core people process to support this particular requirement.</p> <p>VITAE 2010 Researcher Development Framework (RDF). Embedded in:</p>		<p><b>Achieved annually</b></p> <p>The Researcher Development Programme is revised annually. The introduction of Public Engagement training and additional Media communications training has been successful for research staff. Dedicated Career Management sessions for Research Staff commenced in February 2013.</p> <p>A draft development programme for Research Staff and Early Career Academics has been developed by Research Support and Development. This programme has been out</p>	<p>Researcher Development Programme to continue to be reviewed and revised annually (annual revisions since 2003).</p> <p><b>Lead: Graduate School August 2014</b></p> <p>New Research Staff Development Programme mapped against RDF rolled out from September 2013. Programme and to be closely monitored during its pilot year from September 2013.</p> <p><b>Lead: Research Support &amp; Development / Graduate School August 2014</b></p>

<p><b>Skills Development Programme for Research Students and Research Staff and Organisational Development Programme – Research Staff 2010</b></p> <p><b>Actions:</b></p> <p>Review regularly.</p>	<p>Lead: HR and Graduate School annually</p>	<p>for consultation with considerable feedback gained from the 30<sup>th</sup> April 2013 Researcher Forum meeting. This programme will commence in 2013.</p>	
<p><b><u>Supervision</u></b></p> <p><b>Good Supervisory Practice and Internal Examiners Briefings</b> – obligatory workshops for PGR supervisors and Internal Examiners</p> <p><b>Actions:</b></p> <p>Delivered 4 times and 10 times per year respectively.</p> <p><b>PGR Logbook</b> – prescribed minimum of recorded supervisory meetings  <b>PGR Annual Monitoring</b> with 360° Feedback</p> <p><b>Actions:</b></p> <p>Develop e-version of Logbook for monitoring progress of research students -2011</p> <p><b>University Research Centres Strategy and Procedures 2010-2013</b></p> <p>Our Performance Development Framework project has a sub project within it that is looking at the management structures required in schools to ensure the appropriate level of management and supervision is provided throughout the year.</p> <p><b>Actions:</b></p> <p>Annual monitoring of research centre KPIs</p> <p>Our current project focused on determining the specific leadership requirements for PI's and Research leads will ensure consistency and quality of supervision in research terms.</p> <p>Research Centre Leads Development Needs Workshop. 17 Feb 2011 Staff Development, Graduate School, PVC-Research.</p> <p>Revise Performance Development Framework to include RDF. HR &amp; Organisational Development 2011/12.</p>	<p>Lead: Graduate School annually</p> <p>Lead: Graduate School Dec 2011</p> <p>Lead: PVC, Research and Innovation Directorate, HR and Graduate School July 2011 and annually thereafter</p> <p>Lead: HR July 2012</p>	<p><b>Achieved annually</b></p> <p>From 2010 - 2013 166 academics attended the Good Supervisory Practice sessions and 149 attended the Internal Examiners Briefing sessions.</p> <p>Research Students Tracking system has been developed and was launched in September 2012.</p> <p>Annual monitoring of RCs – approved by R&amp;I Committee. Latest update February 2012.</p>	<p>N/A</p>

Researchers' Responsibilities	Concordat Principle	Update August 2013	2013 - 2015 Actions
<p><b><u>Research freedom</u></b></p> <p><b>Code of Good Practice in Research</b> - The University has established <b>Research Policies and Procedures</b> which incorporate a Code of Good Scientific Practice (CoGPiR) that establishes the fundamental principles of research.</p> <p><b>Actions:</b></p> <p>CoGPiR last reviewed in 2004. Revisit CoGPiR by R&amp;I committee/sub-committee by 2012</p>	<p>2, 3, 4</p> <p>Lead: Research and Innovation Committee Apr 2012</p>	<p><b>Achieved January 2013</b></p> <p>Revision of the University's Code of Good Practice in Research forming part of the Research Ethics Policy published in January 2013.</p>	<p>N/A</p>
<p><b><u>Ethical principles</u></b></p> <p>The University has a published policy on ethics:</p> <p><b>Research Ethics: a policy for staff and research students</b> which includes an Annex on <b>Ethical Principles for research involving human participants</b> approved by Academic Board Dec 2005. The policy is revisited by the UHREC on an ongoing basis.</p> <p>This establishes that there is an overarching <u>University Human Research Ethics Committee</u> and <u>Faculty Research Ethics Committees (FRECs)</u>.</p> <p>Attention to the ethical implications of research for research subjects, researchers and research sponsors is an intrinsic part of good research practice. Research involving human participants is undertaken in many different disciplines and conducted in a wide range of settings. The University has an established set of fundamental principles to ensure the protection of human participants and a Code of Good Scientific Practice. The University seeks to ensure that all research for which it has responsibility satisfies these principles and the Code of Practice. The University will undertake the ethical review of pure and applied research irrespective of funding source except that which falls under the remit of Department of Health approved ethics committees in which case it shall be referred to the appropriate committee.</p> <p><b>Actions:</b></p> <p>Terms Of Reference revised 2010. Revisit 2012. FRECs TOR revised 2010. Revisit 2012.</p>	<p>2, 3, 4</p> <p>Lead: Faculty Research Ethics Committees July 2012</p>	<p><b>Achieved January 2013</b></p> <p>The new Plymouth University Research Ethics Policy was published in January 2013</p>	<p>N/A</p>

<p><b>Professional responsibility</b></p> <p>University of Plymouth <b>Plagiarism Staff Guidance</b> and Support. Workshops for PGR students.</p> <p><b>Actions:</b> Revised 2004 under review in 2011. Self monitoring available to PGR students through Pebblepad (online PDP) from 2011.</p> <p><b>Intellectual Property Policy.</b></p> <p><b>Actions:</b> Revised March 2010 and reviewed regularly.</p>	<p>Lead: Teaching and Learning Directorate Dec 2011</p> <p>Lead: Research and Innovation Directorate March 2013</p>	<p><b>Achieved 2012</b></p> <p>Commercialisation Strategy published in 2012 by PVC Regional Enterprise</p>	<p>N/A</p>
<p><b>Professional attitude</b></p> <p><b>Externally Funded Project Application and Monitoring procedures</b> – Section A - Application and approval</p> <p>Costing and Pricing Policy for Commercially Funded Work</p> <p><b>Actions:</b> Revised February 2006</p>	<p>Research and Innovation Directorate revisit 2012</p>	<p><b>Achieved 2012</b></p> <p>Code of Practice on External Grant Submission produced February 2012 and presented to the Researcher Forum on 30<sup>th</sup> October 2012.</p>	<p>N/A</p>
<p><b>Complaints/ appeals</b></p> <p><b>Grievance policy &amp; procedure (staff), Complaints and Appeals Policy (students)</b></p> <p><b>Actions:</b> Updated 2010</p> <p><b>Research Ethics: a policy for staff and research students</b> Section 18 – appeals</p> <p>1. Researchers can appeal against the decisions taken by a FREC either to reject or require significant modifications to research. Initially the appeal should be to the FREC taking the decision. If this is not successful the researcher can request the appeal be considered by the UHREC.</p> <p><b>Complaints</b> Section 19</p> <p>2. Complaints about the conduct of research are made through the University's complaints policy. If issues of research ethics are involved the University's 'Procedure in the case of suspected research misconduct' (Annex 4) will generally apply.</p> <p><b>3. Research Degree Appeals</b> Appeals procedure against outcomes of research degrees</p>	<p>Lead: UHREC</p> <p>Lead: HR and Heads of Schools</p> <p>Lead: Graduate School - ongoing</p>	<p><b>Achieved</b></p> <p>Updated January 2013 Research Ethics Policy.</p> <p>Grievance policy and complaints is developed by HR and not UHREC.</p>	<p>N/A</p>

<p><b>Intellectual Property Policy</b> - IP disputes dealt with by UoPEL (section 10) – In the first instance, IP disputes will be dealt with by UoPEL. If the matter remains unresolved it will be passed to the Enterprise Advisory Group. Ultimately, if the matter cannot be resolved by the institution the issue will be subject to independent and binding external arbitration.</p>	<p>Lead: University of Plymouth Enterprise Ltd</p>		
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Diversity and Equality	Concordat Principle	Update August 2013	2013 - 2015 Actions
<p><b><u>Non discrimination</u></b></p> <p><b>Equality &amp; Diversity Policy</b> and associated codes or practice. E&amp;D responsibilities are mainstreamed into all job descriptions. E&amp;D training is a mandatory requirement via a bespoke e-learning package for all staff. Promoting a positive work environment code of practice is an underpinning part of the mandatory “Leading Fairly” session for all managers. Equal Pay Review is undertaken regularly and all posts are scrutinised via a transparent matching and grading process. E &amp; D committees and sub committees meet termly with representation from across all parts of the University.</p> <p>Generic role profiles for Researchers of all grades are maintained and published.</p> <p><b>Actions:</b></p> <p>Review with reference to Concordat and Researcher Development Framework.</p>	<p>6, 1, 3, 4</p> <p>Lead: HR Dec 2011</p>	<p><b>Achieved 2011 – further work is on-going</b></p> <p>CROS 2013 highlights 98% of Plymouth University respondents were positive about the University’s commitment to E&amp;D compared to 86% for the sector.</p>	<p>Further analysis of CROS, PIRLS and the Staff Survey are necessary to inform E&amp;D practice at Plymouth University. Findings to be reported to HR Excellence Steering Group and Equality &amp; Diversity Committee <b>Lead: HR and Research Support &amp; Development June 2014</b></p>
<p><b><u>Judging merit</u></b></p> <p>Current policy and Interview Chair and panel member training alerts staff to procedures for checking quality of applicants. Recruitment panels must develop appropriate interview structures and questions that enable the diverse range of applicants to have a fair platform. We particularly emphasise the need to guard against assuming several years’ experience necessarily equates to quality output/delivery. Where appropriate, tests of competence may be applied at interview.</p> <p>Annual appraisal and the new Performance and Development Framework will assess on-going merit and recommend reward accordingly.</p>		<p><b>Achieved 2011 – further work is on-going</b></p> <p>PDR was launched in September 2011 and a wider review of our R &amp; S policy to follow.</p>	<p>CROS 2013 highlights the PDR process needs to be embedded further for researchers at Plymouth University. CROS 2013 notes 52% of Research Staff at Plymouth University participated in a staff appraisal in the last two years with a low satisfaction in the process. PIRLS 2013 additionally noted low satisfaction with the PDR process. Human Resources will focus on increasing participation, understanding and satisfaction in the PDR process by August 2015.</p> <p><b>Lead: HR August 2015</b></p>

<p><b>Actions:</b></p> <p>HR has committed to undertaking and prioritising a full review of its recruitment policy and procedure as part of its HR Strategy and to developing and implementing the new Performance and Development Framework.</p>	<p>Lead: HR Dec 2011</p>		
<p><b>Funding and salaries</b></p> <p>Matching &amp; Grading policy - existing procedure requires that all post must be matched and graded against a standard set of particulars</p> <p>Equal Pay and non-discrimination is practiced. E&amp;D annually reviews salary grades against gender and ethnic diversity to alert any non-conformity.</p> <p>Generic job descriptions for research staff.</p> <p><b>Actions:</b></p> <p>Review with reference to Concordat &amp; RDF.</p> <p>Statement of particulars for Research Staff.</p>	<p>Lead: HR Dec 2011</p>	<p><b>See notes on Non-discrimination</b></p>	<p>Further analysis of CROS, PIRLS and the Staff Survey are necessary to inform E&amp;D practice at Plymouth University. Findings to be reported to HR Excellence Steering Group and Equality &amp; Diversity Committee <b>Lead: HR and Research Support &amp; Development June 2014</b></p>
<p><b>Gender balance</b></p> <p>Annual Staffing data - staffing demographics and data are reported to the E &amp; D committee and action plans/targets put in place where identified and appropriate.</p>	<p>Lead: HR and Equality and Diversity Committee annually</p>	<p><b>See notes on Non-discrimination</b></p>	<p>Further analysis of CROS, PIRLS and the Staff Survey are necessary to inform E&amp;D practice at Plymouth University. Findings to be reported to HR Excellence Steering Group and Equality &amp; Diversity Committee <b>Lead: HR and Research Support &amp; Development June 2014</b></p>

Implementation and Review	Concordat Principle	Update August 2013	2013 - 2015 Actions
<p>The University is constantly reviewing its policies, monitoring their implementation and effectiveness and adjusting these in the light of these findings.</p> <p>The University is implementing its new Performance and Development Framework in 2011/12 in which the Concordat Principles and the Researcher Development Framework are embedded.</p> <p>The Leadership Development Programme has now been rolled out to all Senior Managers of the University and the next target group are Research Leads particularly the Heads of Research Centres. It is envisaged that through this group the full implementation of the Concordat and the Researcher Development Framework will be</p>	<p>7</p>	<p><b>Achieved August 2013 – further work is on-going</b></p> <p>The HR Excellence Steering Group was established in March 2012 and meets to review the Award's action plan every six months. The Steering Group comprises of members from Chancellery (Pro-Vice Chancellor Research), Head of the Graduate School, Head of Research Support and Development, Researcher Development Programme Manager, Organisational Development Manager (HR) and, the Researcher Forum representative. The aim</p>	<p>The Dean of Research and Innovation will join this Steering Group from November 2013 taking over from the Pro-Vice Chancellor Research. The Steering Group will continue to meet and review our Concordat-related activities across the University. The Steering Group reports to the R&amp;I Committee and consults with the Researcher Forum. <b>Lead: HR Excellence Steering Group August 2015</b></p> <p>The analysis and action plans of the 2013 CROS, PIRLS, PRES and Staff surveys will be reviewed and disseminated to the appropriate University Committees (including R&amp;I and Graduate Committees) and cohorts by June 2014. <b>Lead: Research Support &amp; Development / Graduate School June 2014</b></p>

<p>effected.</p> <p>The University will continue to monitor feedback from its Researcher constituencies through online surveys:</p> <ul style="list-style-type: none"> <li>• CROS – research staff</li> <li>• PRES – postgraduate researchers</li> <li>• PIRLS – senior researchers</li> <li>• Staff Survey – all academic staff</li> </ul> <p>through feedback from its researcher forums:</p> <ul style="list-style-type: none"> <li>• Research Staff Forum</li> <li>• Early career academics Forum</li> <li>• Postgraduate student Forum</li> <li>• Research Centre Leads Forum</li> </ul> <p>and through its appraisal and feedback systems:</p> <ul style="list-style-type: none"> <li>• Performance Development Framework</li> <li>• Annual Monitoring of PGR students</li> <li>• Annual review of Research Groups against KPIs</li> <li>• Equality and Diversity annual reports</li> </ul> <p>This information and feedback will be used to review and revise operational guidelines and policies and strategies to ensure the vibrancy, quality, fairness and career development of the University's research community.</p>	<p>Lead: PVC, HR, Graduate School, Research and Innovation Committee, and Equality and Diversity Committee 2011 onwards</p>	<p>has been a balanced membership that is small enough to act as an effective 'working' group.</p> <p>The Research Staff Forum and Early Career Researcher Forum merged in 2011 into the Researcher Forum.</p> <p>The Postgraduate student forum is facilitated through the Postgraduate Society.</p>	<p>The Plymouth University Staff Survey 2013 is under analysis with initial finding expected by November 2013. Research Staff feedback to be highlighted for dissemination to the HR Excellence Steering Group and Researcher Forum. <b>Lead: HR December 2013</b></p> <p>CROS 2013 highlights the PDR process needs to be embedded further for researchers at Plymouth University. CROS 2013 notes 52% of Research Staff at Plymouth University participated in a staff appraisal in the last two years with a low satisfaction in the process. PIRLS 2013 additionally noted low satisfaction with the PDR process. Human Resources will focus on increasing participation, understanding and satisfaction in the PDR process by August 2015. <b>Lead: HR August 2015</b></p>
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