

TEMPLATE 3: INTERNAL REVIEW

University of Glasgow

Organisation's contact details: Research & Innovation Services, 11 The Square, University of Glasgow, G12 8QQ

Web-link to published version of organisation's HR Strategy and Action Plan and organisational recruitment policy (OTM-R principles):⁴⁵ : <https://www.gla.ac.uk/myglasgow/ris/researcherdevelopment/ecrstrategy/hrexcellence/>

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 30 JANUARY 2018

1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	Head Count
Total researchers = staff, fellowship holders, bursary holders, PhD students either full-time or part-time involved in research	2521 (Postgraduate Researchers - PGRs) 2525 Research and Teaching (inc clinical and R-only) staff
Of whom are international (i.e. foreign nationality)	718 PGR (international is understood as outside of the EU) 871 staff (outside of the UK)
Of whom are externally funded (i.e. for whom the organisation is host organisation)	N/A for PGR 1304 (Research staff)
Of whom are women	1234 (PGRs) 1035 Research and Teaching (including clinical and R-only) staff
Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1422
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	1103
Of whom are stage R1 = in most organisations corresponding with doctoral level	2443
Total number of students (if relevant)	26630
Total number of staff (including management, administrative, teaching and research staff)	7979
RESEARCH FUNDING (figures for most recent fiscal year)	€(million)
Total annual organisational budget	656.74
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	179.10 (SFC)
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	197.19 (total research grants)
Annual funding from private, non-government sources, designated for research	Not available
ORGANISATIONAL PROFILE	

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

Founded in 1451, the University of Glasgow (UofG) is the fourth oldest university in the English-speaking world. More than 26,000 students from over 140 countries study at the University, which employs over 7,500 staff. The University is split into four Colleges, with 27 Schools and Research Institutes. The University of Glasgow is a research-intensive institution and a member of the Russell Group.

In the UK, PhD students (referred to as Postgraduate Researchers /PGRs) are considered students, rather than staff. Processes for recruiting and supporting this group do not fall under HR and are monitored by the University Senate and externally by the UK Quality Assurance Agency (QAA) as part of their [Enhancement-Led Institutional Review Process](#). Therefore, we have not included PGR support explicitly in this document. However, we have robust processes in place to monitor the PGR experience and include PGRs in decision making. PGR feedback is gathered via the biannual PRES survey, an annual Graduate School review process (with external panel membership) and a robust student representative system. Student representatives feed into all the key decision making groups (such as the Deans of Graduate Studies Committee) and the [PGR Code of Practice](#) sets out policy in relation to recruitment and admissions. As they are not members of staff, the recruitment policy does not apply to them but we have mapped how the PGR Code of Practice embodies the OTM-R principals within our OTM-R form.

2. NARRATIVE

The University of Glasgow's ambition is to provide a world class working environment to attract and retain talented, passionate and motivated staff. This includes creating an environment that is attractive and supportive to our 1000+ research only staff population, as set out in the [University's strategy for people](#) (*a working culture that rewards and empowers*).

Have any priorities for the short /medium term changed? Between the original application in 2010 and 2018, much has changed locally for research staff at UofG but also in the wider UK landscape. Notably, the University has become a signatory of several Concordats (open data, research integrity, public engagement) which set out expectations for action, support, training and policy in these areas. Oversight of these have helped to embed the principles of the European Charter and Code.

Case study for embedding provision: In response to the UK Concordat for research integrity, we established a working group to review support in this area across the University. This included early-career researchers in its membership. A suite of recommendations were presented to the University's Senior Management Team, on the themes of communication, advisers and champions, training and policy. These have now been implemented, with an annual report published on the University and oversight of (e.g.) training participation and quality from the Champion team. Following researcher feedback, the training was adapted to include a bespoke course to address the issues that postdocs are likely to face in being a first time supervisor or moving projects between institutions.

Alongside the HR Excellence in Research Award, two external factors in the UK have been helpful in implementing the C&C:

1. **The Athena Swan gender equality award scheme** aims to eliminate gender bias and develop a culture of inclusivity and is of huge significance and weight in the UK. This scheme asks the University as a whole and also individual departments to make award applications to demonstrate how they embed principles of Equality and Diversity and promote career progression, mentoring etc. for under-represented groups. Gaining the award requires honest and rigorous self-assessment and evidence-based decisions for action to address issues particular to that unit. This includes scrutiny of local data on recruitment & promotion, focus groups, surveys and case studies. All applications undergo rigorous external peer-review and units may be required to resubmit if robust analysis or commitment to the process is not evident. The University-wide awards also take into account intersectionality, including addressing inequalities arising from race and disability, as well as gender. ([View UofG Athena Swan awards, action plans and targets](#)).
2. **The Research Excellence Framework (the REF)** research environment section must be completed by individual units of assessment and asks for evidence of how that unit supports early-career researchers in their career progression.

Both these initiatives have allowed us to engage with local units to ensure that the efforts being made to support this population of staff have local ownership and enthusiasm wherever possible. This helps to ensure visibility and uptake of central provision, such as our excellent Careers Service for research staff or our annual conference as well as providing a more relevant or tailored approach for the particular discipline (e.g. a sector specific careers event, which might make use of alumni or contacts from that area or where one local unit took the idea of the University's *Researcher Parent and Carers Network* and tailored it to create a local '*bench and bairns*' (Scottish word for children) club and another unit created a parent buddy scheme. Although central policies, resources and activities may be in place, the norms and culture of a particular subject may prevent an individual feeling encouraged to participate in training outside of their immediate role. While central oversight of participation rates by School is useful, the local buy-in and incentives (Athena Swan / REF) often have a greater material impact. An example of this is a recent research away day at the Institute for Biodiversity, where the Head of Institute spoke about work-life balance from a personal experience and later followed it up with a [blog](#) with advice for ECRs. Feedback from the Institute postdoc representative suggests that this personal approach led to ECRs feeling empowered to take concerns to him and be more proactive in managing their own work-life balance.

One of the challenges of so many parallel culture change initiatives is that they can sometimes result in either duplication of effort or initiative (committee, survey, event) 'fatigue'. Therefore, since the initial time of the HR Ex award in 2010, our emphasis is shifting from introducing new initiatives and training to consolidation, better coordination, ensuring awareness and simple navigation of what's available and ensuring quality, relevance, effectiveness and equality of access. The early-years of the award allowed for significant piloting of grants, training etc. and future central oversight will consider whether pilot initiatives might be rolled out to other parts of the University.

Case study for coordination to avoid ‘initiative fatigue’: Up until 2015, the Careers in Research Online Survey provided indicators and data for the HR Excellence Award. However, this was running at the same time as individual units were running their own Athena Swan surveys and also alongside a University all-staff survey. In future years, we will run one all-staff survey but add an additional section that is specific to research-only staff. The questions for this have been drawn up with significant input from the Postdoctoral Researcher Forum. Survey results will also be made available to Athena Swan committees, who will aid in interpreting the results, through a local perspective.

Although we have significant strengths in implementing the Charter and Code, two areas for improvement are common across the different areas of the code:

1. The need to capture better data for both evaluation of the activities and support on offer and also to ensure we understand the needs and career stage of our researcher population and their likely destination.
2. Ensuring that researchers know what is out there to support them and are able to choose the most appropriate support for them, with structured personal development planning, useful data (such as destination data mentioned above) and good guidance from PIs, mentors and specialist staff as appropriate.

The [Postdoctoral Researcher Forum](#), since it was established in 2015, has provided a structured and formal channel for researchers to input to decision making. This forum identified two priority areas for our action plan. Firstly, that the end of contract is very precarious for individuals and more could be done to support this transition (e.g. investigating potential for continuity of email addresses, access to Careers Support in the weeks after the contract has ended). Secondly, although the P&DR process itself is undertaken by all researchers, there are mixed reactions to its usefulness towards career development. Satisfaction with P&DR should therefore be monitored over the next three years, as part of the annual process and surveys and in collaboration with ECR networks, representatives etc.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? The University Services, including HR, Careers, Research & Innovations Services etc. are currently undergoing restructuring which may lead to some changes on oversight /organisation of the HR Excellence Award process. However, (as articulated above), much of the action is being taken (and monitored) at a local level and therefore this won't have a huge impact in the eyes of the researcher. The most significant difference is that the [Researcher Development Committee](#), which previously oversaw the award, has been disbanded due to a number of reasons (size of committee, increasing breadth of remit as it included researchers at all career stages, overlap with other initiatives such as our Early Career Development Programme for new academic staff (ECDP) and Athena Swan). An interim measure is in place to oversee the award, with a working group and steering group, as detailed in the process section. By 2018/19, a new Researcher Development Strategy group will be introduced. The University has also launched a new Knowledge Exchange Strategy, which has a strong focus on helping researchers to develop career-related skills in public engagement, industry involvement and entrepreneurship. HR Excellence Award areas relating to these areas will be overseen through College-level Knowledge Exchange Committees, which either have representation from research-only staff or use focus groups and ECR committees for consultation.

The other significant change is in the surveys, as detailed in the case study above, where CROS (mentioned frequently in previous action plans) will be replaced by data from the all-staff survey. (Note that PGR feedback is collected via [PRES](#)).

The University's Equality and Diversity strategy has been updated in line with legislative requirements for the Public Sector Equality Duty, setting Equality Outcomes for the University which take into account initiatives such as Athena Swan, and the HR Excellence in Research Award. The University sets out challenging actions in its new [Gender Pay Gap Strategy](#). At a University level, our gender pay gap has been on a downward trajectory in recent years; this reflects various concerted actions and policy developments including addressing equal pay matters, and has reduced from 20.9% in 2015 and now stands at 18.2%. ([View Statistics](#)). The work being undertaken as part of this, including rigorous data collection and analysis, complements many of the themes and actions in our HR Excellence in Research Award action plan.

3. EXPLANATION OF TERMS

CCF	Collective Consultation Forum (a joint Management & trade union forum which has oversight of the consultation on redundancies for staff on fixed term funding, Data is presented to CCF on a quarterly basis.
CoSE	College of Science & Engineering
ECR	Early-Career Researcher
EDSC	Equality & Diversity Strategy Committee (meets three times a year)
EDU	Equality & Diversity Unit
EOD	Employee and Organisational Development (previously SDS)
GESG	Gender Equality Steering Group
HoS	Head of School (equivalent to Director of Institute)
LEADS	Learning Enhancement and Academic Development Service
MVLS	Medical, Veterinary, & Life Sciences College
P&DR	Performance & Development Review (annual appraisal system)
PDPs	Personal Development Plans
PIs	Principal Investigators
PGR	Postgraduate Researchers (PhD students, MRes etc.) – considered as students
R14	Researchers14 – Glasgow is a member of R14, a group of Universities which represent 65% of the research staff community in the UK. R14 proposes to provide a strategic view of the people, culture and issues surrounding this researcher community and share good practice in researcher development. The group is strategic in its activities, global in outlook and collaborative in approach.
RDC	Researcher Development Committee (previously met four times a year, up until late 2017) with first meeting involving an annual report, which highlights progress against this plan. This report was also presented to RPSC and the HR Committee. RDC will be replaced in 2018/19 by a Researcher Development Strategy group.
REF	Research Excellence Framework – the UK assessment of research quality, outputs, impact and environment
RI	Research Institute (in the UofG Structure, these are similar to Schools with both sitting below ‘College’.
R&I	Research & Innovation Services
RPSC	Research Planning and Strategy Committee, the University’s most senior research committee, including Research Deans, who have a responsibility for career development of researchers and can disseminate information to Research Convenors in Schools to encourage uptake of training or influence local policy.
UofG	University of Glasgow

4. ACTIONS 2018 TO 2021

Clause	Title action	Timing	Responsible	Indicator(s) / Target(s)	Status	Notes
3. Professional responsibility	Monitor and evaluate the delivery of research integrity training across the University and promote participation and leadership in this agenda, including sharing practice with other organisations, UKRIO and funders.	Annual oversight by RPSC.	R&I, College Research Integrity Champions and Advisers	<p>Success measures: Participation in training; delivery of training that is relevant to each career stage. Evaluation of understanding of research integrity in its broadest sense. Contribution to national and international policy, practice and debate on these issues</p> <p>Targets (reported annually in July as part of assurance statement / Champion/ Adviser meeting): 90% 1st year PGRs to participate in face to face integrity training. 40% new research staff to participate in optional training Positive feedback on evaluation of training. Feedback from advisers and champions collated in annual report and used to inform policy PGR survey – 90% have improved integrity knowledge Staff survey – 90% know where to go with concerns</p>	Review Complete with ongoing monitoring through annual meeting of Champions and Advisers, who provide a report on issues raised with them by researchers	<p>A comprehensive review of research integrity training and support was undertaken in 2015, including researchers at all career stages. Training and support are embedded in the University's <i>Code of Good Practice in Research</i> and in induction processes.</p> <p>Oversight of this agenda, participation in training and communication of expectations is through a network of Advisers and Champions. The University of Glasgow is regularly invited to share its good practice in this area with other institutions, the Russell Group, UKRIO etc. and participates in international practice sharing events and networks.</p> <p>Face to face research integrity workshops are popular, including one tailored to the particular concerns of postdocs. We introduced an online course as part of induction and are piloting webinars.</p> <p>The University publishes an annual statement outlining how it is promoting and supporting a culture of openness and integrity. This includes detailing the number and type of misconduct investigations. Advisers and Champions write an annual report of issues raised with them, to inform future training, guidance and policy.</p>
9. Public engagement	Improve researcher awareness of public engagement opportunities and support offered by the University's Public	Review by end of 2015	R&I via Public Engagement Strategy Group and	Improved webpages; regular newsletters; mailing list; practice sharing event as part of research staff conference; funding applications;	Catalyst project completed	A substantive culture change programme was undertaken in this area between 2015 and 2017, led by a newly appointed Dean of Public Engagement and a Public Engagement Officer. Successful H2020 European researchers' night and

	Engagement Officer. Continue to apply for funding (and support individuals to apply for funding) to develop innovation public engagement (e.g. European Researchers Night).		Dean of Public Engagement	participation in European Researchers Night 2015 (and in the future). Target: 400 researchers engaging in European Researchers Night annually (or equivalent high profile event) New targets to be reviewed as part of developing Knowledge Exchange Strategy	Ongoing oversight from Dean of Public Engagement and Strategy Group	RCUK Catalyst seed fund and Wellcome ISSF grants allowed a suite of capacity building and awareness raising initiatives. This work will continue as a key part of the University's research and knowledge exchange strategy, with impact being measured through surveys and use of a bespoke culture change measurement tool ('EDGE') etc. at both University and local level to assess culture change from the researcher perspective. Over UofG 400 researchers participate in European Researchers' night annually (2015, 2016 and 2017). The University was successful in 2015 receiving 'Catalyst' funding from the UK Research Councils to engage in culture change in this area. Public Engagement is now formally recognised in promotions criteria. Four additional members of specialist public engagement staff have been recruited to support researcher development and activity in this area. Researcher consultation (events and surveys) will be embedded in research hub consultations. The new research hub buildings will have a strong public engagement theme and will facilitate researchers to become more involved in public engagement.
10. Non discrimination	UofG will introduce training in unconscious bias for members of promotions panels. Members will be asked to attend training in unconscious bias and for interview panels the (online) Equality & Diversity Essentials. The University welcomed the 2014 RCUK Briefing on Maternity, Paternity and Adoption Leave and	Review Summer 2015	EDU / Recruitment EDU, HR,	Participation in training, with the aim of piloting six courses over the first year (~70-100 participants) and reviewing their impact. Target: 100% completion of Unconscious bias training for anyone on a recruitment, promotions or REF panel	Complete Complete	Promotions Panels have received Unconscious Bias training since December 2015. From July 2017, Unconscious Bias training became a prerequisite prior to completing Recruitment and Selection training. Equality and Diversity Duties and Responsibilities are included in job descriptions for senior academic positions (Professorial and above).

	<p>Pay and is reviewing its support for maternity pay and leave in line with the new Shared Parental Leave legislation.</p> <p>PIs to ensure personal circumstances are explored and taken into account as appropriate to individual researchers.</p> <p>EDU to undertake awareness raising campaign in 2015, in relation to the Dignity at Work and Study Policy and Harassment Volunteer Network.</p>	<p>Review in December 2016</p> <p>Review in December 2016</p> <p>Review in December 2016</p>	<p>PIs, Colleges, Schools</p> <p>EDU, HR, RDC, Colleges, Schools</p> <p>PIs, HR, EDU, Harassment Advisers</p>	<p>Analysis of uptake of new policies by researchers. Awareness and evaluation of scheme. Monitored locally as part of Athena Swan process through staff surveys and focus groups to determine whether staff feel empowered to take-up paternity leave.</p> <p>Monitored locally as above by Athena Swan process, which probes policy implementation on the ground.</p> <p>Campaign evaluation and feedback</p> <p>Monitoring: staff survey question relating to experience of bullying and harassment</p>	<p>Complete</p> <p>Complete</p>	<p>The University's internally funded PhD fellowships mirror the RCUK conditions for Maternity/Paternity and Shared Parental Leave. (Parental leave policy in PGR Code of Practice).</p> <p>In September 2018 the University extended Maternity and Paternity Pay, removed the qualifying period for occupational Maternity Pay, and removed the requirement to return the pay if your contract ends within the maternity leave period.</p> <p>The University's Maternity Checklist includes a prompt for managers/PI's to look at funding/extensions on behalf of the staff member.</p> <p>The University ran a successful Full Stop campaign in 2015. This resulted in an increase in staff awareness of the Dignity at Work and Study Policy by 30%. Full details of the campaign are here with example posters in the appendix. The EDU has rebranded the Harassment Advisers as Respect Adviser and recruited an additional 6 staff.</p>
21. Postdoctoral appointments (Code)	Create a new Job Family position which better suits the researcher positions not considered by the current Job Family roles, entitled "Research Scientist"	Year end 2017	HR	Success of these roles monitored by College of MVLS Senior Management Team, as part of annual promotion cycle.	Complete	Research Scientist Role created in autumn 2017, and added to academic promotion criteria. https://www.gla.ac.uk/media/media_498056_en.pdf
24. Working conditions	Improve promotion of researcher-led fund to facilitate local networks, improved communication and	Annual review, reporting to RDC.	R&I	Postdoctoral Researcher Forum to share practice and report annually on number and membership of ECR societies in Schools, uptake of researcher-led bids. Key	Complete/ Ongoing review by RDC	ECR societies have been created in several schools, including the Network for Early Career Researcher Development (NERD), which brings together early career researchers in the Institute of Cardiovascular and Medical Sciences (ICAMS) and the Institute of Infection, Immunity &

<p>representation and provide email aliases for postdocs in Schools</p> <p>Enhance sense of community through identifying and delivery two to three key annual events for researchers (e.g. the Research Staff Conference, Christmas Party, Summer Forum, PhD Comics screenings or '7 Secrets of Successful Postdocs' lecture)</p> <p>Ensure that the University's 'World Changers' theme reflects and celebrates case studies of early-career researchers</p> <p>Promote opportunities for flexible working to researchers and monitor uptake. Action Plans for Athena SWAN will be developed by Schools to address local issues and published on the web</p>	<p>Annual report to RDC</p> <p>RDC annual report.</p> <p>Reviewed and monitored as part of Athena Swan plans (award reviewed by external body/robust peer review process)</p>	<p>R&I</p> <p>R&I / Communications Office</p> <p>EDU, HR, Colleges, Schools</p>	<p>success measure is the opportunity for researcher groups to respond to needs of local population. Participation rates are monitored by RDC and RPSC (who receive an annual report on the research staff conference).</p> <p>RDC annual report.</p> <p>Athena SWAN certification for individual Schools/RIs is monitored by the Gender Equality Steering Group and each School sets their own targets. The Athena Swan process ensures that these are stretching targets and robustly monitored and reported, with commitment from the Head of School.</p>	<p>Complete/ Ongoing action to review participation</p> <p>Complete</p> <p>Complete</p>	<p>Inflammation (IIIs). See also ISSF catalyst pilot fund (28).</p> <p>The University has held and maintained several key annual events since 2015, including the Research Staff Conference, which has consistently had an attendance of > 100 researchers and positive feedback, a Christmas party for postdocs, postdoc welcome event as part of researchers' day at the Library.</p> <p>Examples from the 'World Changers' theme includes Herald Diversity Hero of the Year Charlotte McCaroll and Women of the Future Awards (Science) nominee Karine Salin.</p> <p>Actions to raise awareness of Flexible Working are embedded within successful (n=17) School/RI Athena SWAN Action Plans. Many roles are advertised as being available flexibly at point of recruitment. Schools/Research Institutes monitor this annually as part of their Athena SWAN process. Statement in recruitment adverts strengthened to promote support for flexible working. Example statement in job advert: It is the University's mission to foster an inclusive climate, which ensures equality in our working, learning, research and teaching environment. We strongly endorse the principles of Athena SWAN, including a supportive and flexible working environment, with commitment from all levels of the organisation in promoting gender equity. The School of x is the proud holder of an Athena SWAN Silver Award. Interviewees will be eligible for carer expenses, which will be covered by the School.</p> <p>Equality and Diversity Duties and Responsibilities are included in job descriptions for senior academic positions (Professorial and above).</p>
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25. Stability and permanence of employment	<p>Utilise open ended contracts to manage employment and career expectations appropriately, recognising individual's career trajectories and funding circumstances.</p> <p>Gain a better understanding of career trajectories of Grade 8 / 9 research-only staff, exploring mechanisms for sustainable funding of posts. Success will be measured for this objective by analysing Survey results and HR statistics for this group.</p>	<p>Reviewed at University level annually</p> <p>Review by College Research committees December 2015</p>	<p>HR, HoS, PIs</p> <p>Colleges, HR, Schools, PIs, R&I</p>	<p>Assess numbers of open-ended contracts used on a University-level.</p> <p>Analysis of survey results and HR statistics for this group. Monitor participation of staff at this level in ongoing consultation. Practice sharing events / activity with other institutions and Vitae.</p>	<p>Complete</p>	<p>Ongoing monitoring and review as part of HR process and greater use of bridging funds to enable ECRs continuity of employment between research grants.</p> <p>Practice sharing discussions took place with UK and US research-intensives on career progression for this group of staff.</p> <p>Extension of job families to include technical specialist career track (See action 28).</p>
27. Gender balance	<p>Schools/RIs to continue to work towards Athena Swan recognition at 'departmental' level, with the aim of all STEMM Schools / RIs attaining at least bronze award by 2018.</p> <p>Implement policy (agreed November 2014 by Senior Management Group) to support female researchers returning from maternity leave, intended to facilitate the enhancement of their research profiles.</p> <p>Ensure training programmes, conferences, webpages, newsletters and other communication channels provide role models of both genders, demonstrating successful</p>	<p>Review in December 2016</p> <p>Review December 2016</p> <p>End of 2017</p>	<p>Colleges, EDU, Schools, PIs, HR</p> <p>EDU, HR, PIs, Colleges, Schools</p> <p>EOD / R&I / Colleges / Schools / Careers</p>	<p>Target for all STEMM Schools / RIs to attain at least bronze award by 2018.</p> <p>Awareness, uptake and evaluation of scheme</p> <p>Athena Swan Surveys at local level (question regarding role models – this question is also included in PGR survey with target agreement of</p>	<p>In progress</p> <p>Complete</p> <p>Ongoing</p>	<p>January 2018: the University holds one institution bronze award, 13 departmental bronze awards and four departmental silver awards. The only STEMM school not yet meeting this target will submit in April 2019.</p> <p>The Academic Returners Research Support Fund was implemented in 2015. This allows those on Maternity/Shared Parental leave of four months or more to apply for up to £10K to support research activity within the first year of their return.~ 30people have successfully accessed this fund.</p> <p>All Athena SWAN Schools/RI's monitor internal seminar series to ensure gender representation. R&I and EDU published a briefing on Embedding Equality and Diversity into University Conferences and Events. This covers diversity of speakers, accessibility, marketing, childcare, scheduling,</p>

	<p>transitions from research to academic careers whilst achieving work-life balance.</p> <p>Share good practice at local level across the University between Athena SWAN self-assessment teams and staff who support Researcher Development</p>	<p>Review December 2016</p>	<p>EDU, HR, PIs, Colleges, Schools, R&I</p>	<p>70%-currently at 65%)</p> <p>At least one joint event per year; shared approach to surveys; use of joint events databases etc.</p>	<p>Complete</p>	<p>religious facilities and chairing. (See full guidance). Monitoring of this takes place as part of staff surveys and Athena Swan focus groups.</p> <p>The Researcher Development Manager joined the University Gender Equality Steering Group in 2016 to ensure connected practice and shared learning. Internal discussion forum established through Yammer and at least one joint event a year takes place with RDC, Athena Swan SATs or Postdoctoral Researcher Forum.</p> <p>Data dashboard build to host PRES results for ease of use and analysis by Athena SWAN Self-Assessment Teams.</p> <p>Gender Equality Committees/Networks established or in process of being established within Colleges to facilitate best practice sharing amongst Athena SWAN self-assessment teams. Research Staff Conference included Athena SWAN related topics in 2017 (Thinking of becoming a Parent? Considerations for Researchers); planned session for May 2018 to include discussion of bullying, harassment and inclusion – co-delivered by Researcher Development Manager and Gender Equality Officer.</p> <p>Shared Parental leave Policy est. 2016, with regular monitoring through HR.</p> <p>Conference Carers Pilot has been complete and is currently being evaluated by the University Gender Equality Committee to assess the best method of mainstreaming.</p>
	<p>Introduce a Shared Parental Leave Policy that allows parents to share up to 50 weeks of leave within a baby or child's first year following birth or adoption.</p>	<p>April 2015</p>	<p>HR</p>	<p>Uptake of scheme, annual reviews by HR from 2017.</p>	<p>Complete</p>	
	<p>Pilot a Carers' Conference Fund that contributes to additional costs incurred when a research and teaching staff member with caring responsibilities attends a conference.</p>	<p>Launch June 2016</p>	<p>EDU</p>	<p>Surveys/Uptake level (monitored by HR and Gender Equality Committee)</p> <p>Uptake level / number of events or initiatives funded</p>	<p>Complete</p>	

	Pilot a Diversity & Inclusion Network and Event Fund that aims to support networks or events that promote diversity and inclusion policies.	Launch 2017	Gender, Equality and Diversity Committee		In progress – due July 2018	ISSF funding enabled launch of a scheme within MVLS to support diversity and inclusion networks and events in 2017: EDU funds staff LGBT Network, GRAMNet (Glasgow Refugee and Asylum Network), Student Societies (such as GUMSA Interfaith Dinner).
28. Career development	Continue to provide mentors (other than individual's PI) to proactively support researchers in their personal and professional career development and progression, as well as managing their work-life balance, aligned to the career trajectories pursued.	Review in December 2015	PIs, HR, Schools, Colleges	Mentoring question included in Athena Swan surveys (mentoring schemes coordinated locally with centrally provided toolkit)	Ongoing	A pilot mentoring scheme for researchers was introduced in 2014 and reviewed in 2016 with a recommendation for local mentoring schemes to be established, rather than University-wide schemes. A mentoring toolkit has been developed to assist in this process, which is available for implementation at a local level; in the College of MVLS this is overseen by a Mentoring Action Group.
	Explore the possibility of offering future recruitment rounds for Leadership Fellows to enhance the pipeline of successful researchers, subject to financial and strategic needs. Explore expansion of ECDP (Early Career Academic Development Programme) to include Leadership Fellows.	2015	R&I, Colleges	Uptake of Leadership Fellowships (monitored by R&IS)	Complete	The LKAS Leadership Fellowship scheme has been running continuously from 2015 and to date has supported (or has committed funds to support) 40 fellows. The University has just committed a further £4M to extend the LKAS scheme (Leadership and Fully Funded) until 2024/25. Expansion of ECDP has taken place, and both Leadership and LKAS fellows are invited to participate in EDCP, increasing the career prospects of promising researchers at UofG.
	NOTE THAT OBJECTIVES BELOW RELATING TO P&DR AND PDP HAVE BEEN SLIGHTLY RE-WORDED FOR CLARITY Review effectiveness of P&DR forms for research-only staff; Introduce online P&DR system	End of 2015	HR	Participation; staff feedback in surveys or focus groups Target: 100% participation	Complete	Online P&DR launched 2016, with streamlined forms, training and detailed guidance notes. Almost 100% of eligible researchers participate in this process. Feedback collected annually through Heads of College HR,, staff and Athena Swan surveys etc.

<p>Make use of online PDP/ HR system to monitor data on uptake of personal, professional & career development provision.</p> <p>Ensure career management advice is delivered aligned to career aspirations / prospects, and opportunity to apply for promotion is considered as appropriate.</p> <p>Review promotion criteria for research track. Explore quantification of promotion metrics, and their feasibility and relevance, to enhance effectiveness and scope for career progression. Explore and enhance Colleges' provision of Promotion workshops to support research-only staff identification of promotion plans and readiness</p> <p>Produce updated guide to making Fellowship Applications. Pilot Fellowship peer-mentoring group within College of Science and Engineering, with possibility of</p>	End of 2018	EOD	Management data available for central reporting (staff trained locally in record-keeping using central HR system and process established to undertake this)Uptake and feedback; Promotions applications	In progress	New HR system contains training course functionality and ability to record own training See action 38 (CPD)
	January 2015	HR		Complete	All researchers are encouraged to complete PDP as part of the annual all staff P&DR process. Guidance notes and training provided to encourage broad consideration of career opportunities. The PDP toolkit directs line managers to a range of resources to support professional and career development.
	End of 2015	R&I	Number / success of applications (monitored by College HR). Participation in pilot peer-mentoring scheme (target 20 researchers in year one). IF successful, embedding of Fellowship support.	Complete	New promotion criteria were implemented in 2016/17, including a new Research Scientist career track. Academic Promotion is reviewed on an annual basis with a complete gender analysis at the end of the process. These stats are shared with SMG and respective local HR teams. Gendered analysis of promotion application and success rates are also reviewed as part of Athena SWAN self-assessment processes at both a University and School/RI level. These statistics are considered in conjunction with survey and focus group data about understanding and clarity of promotion criteria and processes; opportunities to apply for promotion; and encouragement and support for completing promotion applications. The Fellowship Application Guide , was updated by R&I Services and workshops have been developed around this theme (e.g. COSE peer-mentoring scheme attracts ~24 participants each year since established in 2015; an MVLS Fellowships day ran for the first time in 2017 with ~100 participants). These have now become annual events. Funding pots have been piloted in MVLS as part of the Early Career Researcher ISSF Catalyst Fund.

	<p>extending to other Colleges as appropriate.</p> <p>Explore scope for small pots of funding, within Colleges, to be used to encourage culture of bidding for funding to support independence, career progression, and facilitate - Fellowship applications.</p>	2015	HR, R&I, Colleges	No of ISSF Catalyst Fund applications from ECRs to support them with developing an independent project.	Extended and ongoing. Pilot underway, due July 2018	This fund aims to provide ECRs with an opportunity to gain experience in applying for funding and assist them in gaining research independence. The 2017-18 funding round aims to fund 4-6 grants worth up to £20,000. A workshop will run on this topic at the 2018 Research Staff conference.
29. Value of mobility	<p>Career awareness / uptake of placements or secondments outside of HE (e.g. through use of Knowledge Exchange Funds or Knowledge Transfer Partnerships). Provide opportunities for research staff representatives to input to strategy around use of these funds to ensure their relevance and support marketing. Publicise international mobility opportunities through Universitas 21, research pools, International Experience Fund, International Partnerships Development Fund and Early Career Mobility Fund.</p> <p>Encourage research staff participation in training courses and events relating to Knowledge Exchange (e.g. KE conference, enterprise training) as well as local events (e.g. offered by Arts Lab, Policy Scotland or College industry days) or business plan</p>	<p>Colleges to review in December 2016</p> <p>Monitored Annually</p> <p>2015</p>	<p>R&I / College R&KT committee</p> <p>Recruitment and International Office</p> <p>R&I</p>	<p>Clear information on webpages, participation in U21 Early-Career Conference.</p> <p>Number of researchers undertaking industry secondments or mobility funding.</p> <p>Target: Develop means of capturing data by 2019/20</p> <p>Case studies, attendance or participation, feedback, successful outcomes (e.g. businesses or collaborations established)</p> <p>Target: 1 team a year entering BBSRC Biotech YES, 3 researchers a year entering Converge Challenge.</p>	<p>Complete</p> <p>New action</p> <p>Complete</p>	<p>Since 2012 the Early Career Development Fund has encouraged mobility for researchers seeking to work with partners in Columbia University (NY) and the University of Hong Kong. Web resources on these funds have been created and publicised. We will continue to share practice with other institutions or organizations and research pools who have successful industry secondment models in place (e.g. SULSA / SUPA – examples of UofG researchers making use of these schemes are available).</p> <p>Data on secondments is still patchy. This will be considered as part of future data collection actions.</p> <p>ECRs were heavily involved in the BBSRC Excellence with Impact competition, in which UofG was the top ranked University. 2017 saw the launch of the MVLS Science Den business plan competition for early-career researchers. The University supports the national Converge Challenge business plan competition (both financially and as part of the steering group) and sees this as an ideal mechanism to raise awareness of academic entrepreneurship.</p>

<p>competitions (e.g. Converge or Biotech YES) and support.</p> <p>Highlight and celebrate role of early-career researchers in contributing to research impact</p> <p>Participate in (and learn from) NCUB research into researcher</p>	<p>Review by end of 2015</p>	<p>R&I</p>	<p>6 Researchers a year to participate in P2i training workshops.</p> <p>New KPIs, targets and monitoring process to be embedded as part of the new Knowledge Exchange and Impact Strategy.</p> <p>Case studies of postdocs engaging with impact generating activities to be used in Research Staff Conference, Crucible and other training programmes.</p> <p>Report published.</p>	<p>Action extended as per notes column /New action introduced</p>	<p>In 2017, UofG was a founding member of the HEAPP (now P2i) alliance, which represents an effort by leading European Universities and industry, to foster and develop entrepreneurial skills amongst their researcher communities. This involves coordinating researcher activities including enterprise fairs, entrepreneurship events, business courses and internship opportunities which help to develop researcher mobility. The scheme has industry representation from a diverse set of companies, including Shell and AstraZeneca. Implementation of this project and learning from the experience will be a key future action.</p> <p>The College of Science and Engineering will run a funding call for knowledge exchange/impact development activities specifically aimed at postdocs. This will fund initiatives such as secondments, industry engagement, and Proof of Concept or demonstrator development either alone or in partnership with an industry collaborator. The aim is to support Researchers to develop their independence.</p> <p>Researchers' participation in Knowledge Exchange was highlighted in the Knowledge Exchange & Engagement Conference in Winter 2017, which showcased the University's commitment for the sector through its strategic plan 2017-2021.</p> <p>Recognition for knowledge exchange activities is now embedded with the University's promotion criteria and appraisal processes. Future action will include monitoring the uptake of training etc.</p> <p>Report and findings shared across the University and the sector. A key conclusion from this report was that researchers do not feel rewarded for mobility. This perception will</p>
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	inter-sectoral mobility; Contribute to other NCUB projects and task forces				Complete	<p>be monitored over time as part of the University's Knowledge Exchange strategy.</p> <p>Between 2014 -2016, the University had key leadership roles in the NCUB 'Growing Value Scotland Task Force', a project of national significance that considered the innovation landscape in Scotland and how best universities and business could work together.</p>
30. Access to career advice	<p>Publicise availability of Careers Service support to researchers through appointment, induction, P&DR and redundancy processes and documentation. Enhance the visibility of our careers support to PIs through presentations within Schools, Supervisor Training and College committees, supporting them to deliver careers advice as part of P&DR.</p> <p>Develop a new EOD workshop supporting researchers with 'one year to go' to facilitate career management.</p>	RDC annual report	<p>Careers, PIs, Schools</p> <p>EOD, Careers, R&I</p>	<p>Annual monitoring of uptake by Careers Service (no. of appointments and workshop attendance)</p> <p>Case studies, attendance</p>	<p>Ongoing (and key area action for the future)</p> <p>Action superseded and now complete</p>	<p>Researchers receive regular email bulletins and social media updates. A new 'one stop shop' website and events database (widely marketed by fliers and web links, with usage monitoring) raises awareness of events, in addition to School roadshows by the Researcher Development Manager. Researchers receive an email from the Careers Manager 6 months prior to the end of contract. Career development discussion is also embedded as part of the P&DR (appraisal) form and guidance notes.</p> <p>This action has been replaced by the introduction of a suite of tailored workshops through the Careers Service on job hunting, applications, CVs etc. This provision is now embedded as core in the University, with participation and satisfaction monitored by RDC.</p>

				No. of users of Career Development MOOC and participant feedback (due late 2018) System in place; No of researchers tracked.	New Action New Action	The workshop 'Getting the First Lecturing Job', aimed at ECRs, was introduced in 2016, supported by supplementary case studies available online and local workshops (often run by Athena Swan or ECR committees). Researchers have expressed a desire for enhanced online provision and a new 'career development' MOOC will be launched in Spring 2018. From 2018-2021, we aim to improve the career destination information that we collect on researchers after they leave UofG.
33. Teaching	Enhance the visibility, effectiveness and reach of our support for delivery of teaching, tutoring and demonstrating, as well as preparation for academic practice available to research-only staff.	Review in December 2015	LEADS	LEADS input to Research Staff Conference and researcher participation in LEADS programmes reviewed as part of RDC annual report.	Complete Action expanded and complete	LEADS offers a wide range of support, workshops and accreditation for researchers wishing to develop their teaching capacity and skills and this provision is promoted annually at the research staff conference, with role models. UofG shares practice in the area of 'Supporting researchers who teach' with other research intensive institutions through the R14 network, resulting in a joint document of expectations.
35. Participation in decision-making bodies	Map representation of researchers on local College or University-level committees and publicise on web. Elect research staff representatives for each School / Institute and hold two 'Postdoctoral Forum' events each year, bringing together all representatives and appointing representatives to contribute to appropriate decision-making groups and committees at School/RI, College and University level, ensuring opportunity to	Representation monitored annually by R&IS	R&IS	Measure representation at School/RI level. Target for all Schools / RIs to have a researcher forum member. Gain feedback from researcher representatives. Impact of forum reported back to wider community.	Complete	Currently 19 out of 27 Schools/RIs have representation from research staff on the Postdoctoral Researcher forum. The Postdoctoral Forum has been successfully established, with representative from each School/RI attending and taking place at least twice a year since the Forum was established in 2016.

	influence University policy, practice and strategy.					
37. Supervision and managerial duties	Provide opportunities for PIs to identify and discuss their own development needs. A joint consultation approach will be adopted across Schools / Services to ensure maximum response rate in chosen survey / method and avoid duplication or dilution of efforts (which is likely if multiple surveys are being undertaken).	RDC to review surveys and consultation bi-annually (February 2015 onwards)	RDC, HR, R&IS, Athena SWAN SATs	Survey result analysis (led by HR in collaboration with R&IS). Target response rate for all staff survey of 50%.	Complete	Biennial staff survey (next one late 2018), Athena Swan (local surveys – tend to have a higher response rate >65%) and Personal Development Planning embedded as part of annual appraisal (supported by web toolkit).
	Dissemination of Code of Practice for the Management of Researchers (through a variety of mechanisms) to raise awareness of roles and responsibilities of PIs, mentors, the University and researchers.	Review December 2015	EOD / RDC / Colleges / Schools / HR recruitment	Awareness of Code of Practice to be measured through future surveys	Complete	Complete. Included in Induction documentation, roadshows etc. Awareness to be measured as part of ongoing data collection.
	Support PIs with their role in P&DR, ensuring it benefits both the PI and the researcher and includes both the performance (delivery of project) and the development aspects (developing skills for future careers). Success of this programme will be measured through engagement in the PDR process.	Review Autumn 2015	HR / EOD / HoS	Target: Improved response in 2018 Staff Survey to questions about usefulness of PDR process (at least 70%) Participant uptake, course evaluation – embedding of programme based on positive feedback.	Complete	A PDR Portfolio of training, reference material and guides are available for all staff in an online format. These resources are promoted widely as part of the PDR annual review process. The effectiveness of P&DR is monitored locally with support from local HR advisers as well as being discussed as part of Athena Swan process. All Athena Swan awards contain an action relating to P&DR, to address particular concerns in that School, as well as their being overarching UofG targets for satisfaction with usefulness of process.
	Pilot and review a Senior Research Leaders development programme, which provides individuals with the opportunity to further develop their	Review Autumn 2015	EOD / R&I / HR		Complete	

	leadership capability in a senior research leaders context.					Following feedback from the pilot (which also included an Arts / Social Sciences cohort) the Senior Research Leaders' programme will continue to be supported, joint between EOD and office for the Vice Principal of Research for 12 participants at various stages of their leadership career. The programme is experiential based and includes coaching, workshops and peer learning.
38. Continuing Professional Development	Increase participation in CPD. The current target of researchers undertaking at least three days of training a year (set out in the Code of Practice for Management of Researchers).	2015	Colleges, Schools, RDC, HR, EOD	<p>Target to increase from 3 to 5 days a year of CPD (monitored by biannual staff survey – next survey September 2018) and reported to RPSC. Target: 60% of respondents in next survey having undertaken 5 days of CPD in the previous year, with no significant difference in the responses from male and female researchers.</p> <p>Target for monitoring: All University Services CPD provision to move to being recorded on HR online system by 2018/19</p>	In progress – improved monitoring to be in place by 2019	Code of Practice updated to state 5 days a year This expectation is communicated to researchers at events and in an annual email at appraisal time. The new HR online system allows self-recording of CPD and for local units (i.e. beyond central EOD) to add their own CPD workshops, to have everything recorded in one place.
39. Access to research training and continuous development	<p>Researcher Development to be embedded as a regular agenda item in School / RI committees to broaden awareness of support and improve understanding of roles / responsibilities in managing the personal, professional and career development of researchers</p> <p>Enhance communication of resources commitment to the management and development</p>	<p>Annual agenda item for Schools</p> <p>March 2017</p>	<p>Schools / RDC</p> <p>R&I / HR / Careers /</p>	ECR development included in REF environment statements for every unit in the University.	<p>In progress (due July 2018)</p> <p>Complete</p>	This will be strengthened as part of our preparations for REF 2021. Schools / RIs are asked to critically reflect on their training environment and provide evidence of how the action they are taking has resulted in a positive outcome for ECRs. These draft reports (submitted over 2017/18) will be reviewed by an external panel, with recommendations for action presented to the Senior Management Team. Researcher Development is already a key item on Athena Swan agendas.

<p>of research-only staff, including via web-portal</p> <p>Publicise annual timetable of Fellowship opportunities, eligibilities and deadlines.</p> <p>Evaluate mentoring schemes available to staff and explore development of integrated mentoring scheme for academic staff (combining existing Athena SWAN and researcher schemes)</p> <p>Explore allocation within College Workload Model frameworks for mentors</p> <p>Introduce a 'Mentor of the Year' award</p>	<p>June 2015. Annual updates thereafter.</p> <p>End of 2015 - RDC annual report</p> <p>Review December 2015</p> <p>Review December</p>	<p>Communications</p> <p>R&IS</p> <p>Colleges / R&IS</p> <p>HR</p>	<p>Survey responses and web-hits</p> <p>Information available on UofG webpages and local points of contact / support established in each of the Colleges.</p> <p>Participation and feedback; successful outcomes of application</p> <p>Box included in workload system to record this</p> <p>Feedback and participation</p>	<p>(Future area for action)</p> <p>Complete</p> <p>Complete</p> <p>Complete</p> <p>Complete</p>	<p>New webpages were established, with researcher input and positive feedback. However, there is still felt to be a lack of awareness of what is on offer and communication proves to be a continual challenge and area for future action.</p> <p>Information on research funding is devolved to College-level project teams. A new Research Gateway website (launched late 2016) aims to support researchers with all grant-related questions.</p> <p>The pilot Athena SWAN and Early Career Researcher schemes overall had positive evaluations. EOD has developed a range of resources to support Schools / Colleges running local schemes including an online toolkit on good practice, mentor / mentee training courses and an EOD practitioner to provide advice. The MVLS College established their own mentoring framework, based on this, with endorsement from the Senior Management Group, which includes a recommendation that the workload model system is used to recognise the time required for mentoring.</p> <p>The award ran twice with 5-8 nominations each year. Feedback is generally positive from those who nominate a mentor, but engagement is low and the award was discontinued following discussion with Postdoc Forum.</p>
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5. IMPLEMENTATION

How have you prepared the internal review? How have you involved the research community, your main stakeholders, in the implementation process? The internal review was prepared by a working group, with membership of: Elizabeth Adams, Researcher Development Manager; Mhairi Taylor, Head of Equality and Diversity; Laura Christie, Employee and Organisational Development Specialist; Fergus Brown, Head of MVLS College HR; Tracey Stirling, HR Recruitment Manager. Early-career researchers (and researchers at other career stages from PGR to Professor) are involved in implementation of the actions, providing feedback on their experience and suggesting new actions, through the channels below.

	Committees or working groups	Informal meetings or ad-hoc events	Surveys
Local (School or Research Institute)	Athena SWAN self-assessment teams Early-Career Researcher committees Consultation between Head of School and Postdoctoral researcher forum representative	Researcher-led groups (e.g. III NERDs , IHW ECR group) – Researcher Development Manager attends meetings annually to provide updates and seek feedback.	Athena SWAN surveys, as part of local application process
Central	Researcher Development Committee Postdoctoral Researcher Forum Research Integrity working group (2015) Public Engagement Strategy Group HR regular consultation with Unions	Research Staff Conference Road shows / postdoc coffee meetings with Researcher Development team (e.g. library open day). Joint Athena SWAN / Researcher Development practice sharing meeting	All staff survey (next in 2018) and surrounding employee engagement focus groups 2015 CROS survey results
Case study for local ECR committee: The Institute of Health and Wellbeing has researcher population >100 and their ECR committee meets regularly, inviting the Researcher Development Manager and a representative of the Institute’s Senior Management Team. A nominated ECR rep attends the Institute Management meeting.			

Do you have an implementation committee and/or steering group regularly overseeing progress? Until 2017, the award was overseen by the Researcher Development Committee (chaired by the Vice Principal of Research) and met four times a year with membership from key researchers at a variety of career stages. The committee received an annual report, which highlighted progress against our action plan and was shared with RPSC (the University’s Senior Research Committee) and the HR Committee. Since RDC has ceased (due to reasons listed in the narrative section), interim measures were put in place to oversee delivery of the new award documentation for 2018, alongside the working group. This included three key meetings (HR Senior Management group meeting (10 January 2018); Meeting of VP Research, Director of HR and Researcher Development Manager (12 January 2018) and the Postdoctoral Researcher Forum (17 January 2018)). From 2018/19, a new Researcher Development Strategy Group will be established with representation from key stakeholders. Other key groups for consultation on a biannual basis include the Unions, College-level Research and Knowledge Exchange Committees, the Athena SWAN committee Chairs.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation’s research strategy, overarching HR policy? The Principles of the HRS4R are embedded within the University’s HR strategies (e.g. Recruitment, E&D) and the University Strategy, which places people at its heart, setting out a clear commitment to *extend our excellent career development and mentoring opportunities for Postgraduate Researchers and Early-Career Staff*. Researchers were involved in the consultation process for the University strategy (2014/15).

How is your organisation ensuring that the proposed actions are also being implemented? Implementation of the action plan will be led by the Vice Principal of Research, with support from R&IS and the HR Leadership Team across the University. The Postdoctoral Researcher Forum and staff survey (next due in late 2018) provide feedback on whether action is being felt at a

local level. Documentation prepared and published for Athena SWAN Submissions and REF also helps to track actions, ownership and issues.

How are you monitoring progress? Progress is monitored via the working group (reporting to RDC) and other committees in the University (e.g. HR Committee, Gender Equality Steering group, the Research Integrity Champions). In many cases, there is an existing requirement to report externally (e.g. our annual research integrity assurance statement or for retention of Athena Swan Awards). An annual report on progress against objectives will be circulated to key stakeholders, including the Vice Principal, HR Leadership Team and the Postdoctoral Researcher forum. The Vice Principal of Research is leading on the REF process for the institution and this will include an honest discussion with every unit in the University on how they build a supportive research environment in line with the University's ambition to empower staff *in a world-class working environment*.

Appendix: Examples of poster campaign ‘full stop to bullying and harassment’ see action 20



Example Micro-fictions from Full Stop Campaign 2015/16