

## TEMPLATE 1 – GAP ANALYSIS

### University of Glasgow (UofG)

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

SUBMISSION DATE: 30 JANUARY 2018

DATE ENDORSEMENT CHARTER AND CODE: N/A (PREVIOUSLY PART OF UK SCHEME)

The University of Glasgow signed up to the UK Concordat for the Career Development of Researchers through Universities UK and first submitted an action plan and gap analysis for the HR Excellence Award in 2010. We are moving to the EU Charter and Code for the first time as part of this submission in January 2018.

### PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues.<sup>1</sup> These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4<sup>2</sup>, as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

The UofG Concordat Steering group (meets annually) is responsible for strategic oversight of the HR Excellence in Research Award. Until mid-2017, this was with support of the University's Researcher Development Committee. However, internal restructuring of committees means this group isn't currently operational and we are in the process of developing the remit and membership of a new researcher development strategy group.

The award submission is overseen by a working group, supported by the HR Managers group and College Research and Knowledge Exchange Committees.

Consultation with researchers is carried out primarily through the Postdoctoral Researcher Forum, which meets three times a year and has representation from almost every School and Institute in the University. Representatives are encouraged and supported to hold local events and consult with other researchers on relevant issues, feeding these back through the Postdoc Forum. Our annual research staff conference provides another means for consultation.

In parallel with the HR submission, the University (at both Institutional and local level) is engaged with the UK's Athena SWAN agenda, which overlaps in many areas with the Charter and Code. The majority of our Schools and Institutes are participating in writing internal gap analyses and review documents for their Athena SWAN process and are likely to have an ECR on their steering group and key actions in relation to this career group.

<sup>1</sup> The term 'Human Resources' is used in the largest possible sense, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career 'level', type of contract etc. etc.

<sup>2</sup> For a description of R1-R4, please see [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

Therefore, we have taken a coordinated approach to surveys, consultations, action and joint practice sharing events.

## **GAP ANALYSIS - IMPORTANT NOTE**

This gap analysis was originally drawn up in 2010 (with an internal review in 2012 and external review in 2014) to map against the UK Concordat for the Career Development of Researchers. The documentation has now been transferred (in December 2017) to the EC documents to allow us to participate in the EC process. At this point, we used the action plan drawn up in 2014 (actions for 2015-2018) and those actions are detailed below. However, as this process is mapped against the European Charter and Code, there are some areas which were not addressed in our previous documentation. This has led to the 2017/18 gap analysis and action plans containing data and commentary from both earlier years (2014) and also newly added in 2017 (where this is a new area or criteria from the Charter and Code, which wasn't present in the Concordat). The January 2018 Internal Review document is the most up to date and current document.

## European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

Status: to what extent does this organisation meet the following principles?	+ = <b>fully</b> implemented +/- = <b>almost but not fully</b> implemented -/+ = <b>partially</b> implemented - = <b>insufficiently</b> implemented	In case of -, -/+, or +/-, please <b>indicate the actual “gap”</b> between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.	Initiatives already undertaken and/or suggestions for improvement.
--	--	--	--

### 1. Ethical and Professional Aspects

<b>1. Research freedom</b> Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons	+	<p><b><u>Legislation or Policy</u></b></p> <p>The <b>Higher Education Governance (Scotland) Act 2016 Section 23</b> states that  <i>“A post-16 education body must aim to— (a) uphold (so far as the body considers reasonable) the academic freedom of all relevant persons, and (b) ensure (so far as the body considers reasonable) that the matters mentioned in subsection (2) are not adversely affected by the exercise of academic freedom by any relevant persons.”</i></p> <p>The <b>Concordat to Support Research Integrity (2012)</b> states that  <i>“Researchers must be able to exercise freedom in their academic choices, and must also accept responsibility for the decisions they make. Thus, the primary responsibility for ensuring that they act according to these principles in all aspects of their research work, including peer review, lies with the individual. Employers of researchers, funders of research and other organisations engaged with supporting research and researchers also have important roles to play.”</i></p> <p>See also: <b>University of Glasgow Code of Good Research Practice.</b></p>	<p><b><u>Current Practices</u></b></p> <p>The UofG conducts its research business in accordance with the UK Concordat to Support Research Integrity (2012) and publishes an <a href="#">annual statement on compliance</a>.</p>
---	---	--	---

<p>or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</p>			
<p><b>2. Ethical principles</b>          Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.</p>	<p>+</p>	<p><b><u>Legislation or Policy</u></b>          The <b>UofG’s Code of Good Practice Section 3.3</b> states that</p> <p><i>“All ethical and regulatory considerations must be taken into account before any research work commences. For non-clinical research involving human participation, the UofG’s Procedures for the ethical consideration of non-clinical research must be adhered to. For any research that involves NHS staff, facilities, patients, samples, tissue or data, the approval of an appropriate NHS research ethics committee must be gained before commencement. Researchers are advised to contact the UofG’s Research Governance Manager in the first instance to discuss any research that may involve human participation, including research involving human tissue and / or data. Research involving animals should have approval through the UofG’s Ethical Review Process and may require Home Office licences for the institution, the investigator and the project. Researchers should consider, at an early stage in the design of any research involving animals, the opportunities for reduction, replacement and refinement of animal involvement (the three Rs). Other ethical concerns, such as research that may damage the environment or the use of sensitive economic or social data, should also be considered at the inception stage.”</i></p> <p>Other relevant ethical legislation includes <b>The Medicines for Human Use (Clinical Trials) Regulations 2004</b> and the <b>Guidance on the operation of the Animals (Scientific Procedures) Act 1986</b>.</p>	<p><b><u>Current Practices</u></b>          Researchers are encouraged to develop and exercise their capacity for independent, honest and critical thought in undertaking research through the Code of Good Practice in Research.</p> <p>Each College has an independent Ethics Committee that considers applications for ethical approval from researchers within that College. The UofG’s <a href="#">Ethics Committee</a> has oversight of policy in this area and training is mandatory for those engaging in research where ethical approval is required.</p> <p>The UofG has signed up to the 'Animal Research: Reporting In Vivo Experiments (ARRIVE) Guidelines'. This is a 20-point checklist for researchers designed to improve the reporting of animal research.</p>

<p><b>3. Professional responsibility</b>          Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.</p>	<p>+/-</p>	<p><b><u>Legislation or Policy</u></b>          The UofG’s Code of Good Practice Section 3.3 states that</p> <p><i>“The practice of granting honorary authorship is against the guidance referenced above. Conversely, all individuals who make a substantial contribution to a paper must be listed on the publication. Furthermore, each author who is listed on an output must be made aware that they have been named and must agree to be listed. Contributions to the work that do not qualify for authorship should be acknowledged formally, as should financial support from funders and sponsors. Authors are responsible for obtaining written permission from persons acknowledged by name. The practice of granting honorary acknowledgement (e.g. to funders that did not fund the work reported in the paper) is also not appropriate. It is essential that authors are aware of the risks of copying ideas, data or text of others without permission or acknowledgement. In addition, self-plagiarism, the act of verbatim copying and reusing one’s own research results in multiple publications, without attribution, is not acceptable. This policy is not intended to preclude the routine sharing of ideas or results, nor the advancement of knowledge based on appropriately referenced existing data or results. Staff should be guided by practice in their field and the terms of re-use of any data, text or results that they access.”</i></p> <p><b><u>“Gap” Analysis</u></b>          The UofG should formalise instruction and training for research integrity for staff.</p>	<p><b><u>Current Practices</u></b>          Researchers are encouraged to develop and exercise their capacity for independent, honest and critical thought in undertaking research through the Code of Good Practice in Research.</p> <p>If and when breaches of this Code are suspected, the UofG has a Code of Policy and Procedures for Investigating Allegations of Misconduct in Research for the investigation of such allegations.</p> <p>The UofG has an Research Data Management (RDM) Service to support researchers in implementing good data management practices and meeting funder requirements. The service comprises three staff members with responsibility for service coordination, technical coordination, and staff training and support. An institutional research data repository and registry can be used for the long-term storage and appropriate sharing of data that underpin research publications. The service also provides training on all aspects of RDM for students and staff, as well as tailored support. The UofG is also a signatory to the UK Concordat on Open Research Data.</p> <p><b><u>Suggestions For Improvement</u></b>          The UofG should increase uptake of research integrity training and awareness of policy and support in this area. Uptake and effectiveness of provision should be monitored annually. (see Action Plan section).</p>
--	------------	--	--

<p><b>4. Professional attitude</b>          Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.</p>	<p>+</p>	<p><b><u>Legislation or Policy</u></b>          The <b>UofG’s Code of Good Practice Section 3.1</b> on Compliance with Policies states that  <i>“All staff and students should be familiar with UofG policies and procedures that govern the research process.”</i></p>	
<p><b>5. Contractual and legal obligations</b>          Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc.) as set out in the terms and conditions of the contract or equivalent document.</p>	<p>+</p>	<p><b><u>Legislation or Policy</u></b>          The <b>UofG’s Code of Good Practice Section 3.1</b> on <b>Compliance with Policies</b> states that  <i>“All staff and students should be familiar with UofG policies and procedures that govern the research process. In addition, UofG expects researchers to observe the standards of practice set out in any relevant legislation and the guidelines published by funders and relevant professional bodies. The receipt of funding from external agencies requires UofG to confirm compliance with their terms and conditions; it is therefore essential that all researchers are aware of their responsibility to observe these standards during their work.”</i></p>	

<p><b>6. Accountability</b></p> <p>Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.</p> <p>Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.</p>	+	<p><b><u>Legislation or Policy</u></b></p> <p>The <b>UofG's Code of Good Practice Section 3.2 on Submission of Research Proposals</b> states that</p> <p><i>"Principal/Lead Investigators should take all reasonable measures to ensure the accuracy and completeness of information that is contained in applications for funding. It is the Principal/Lead Investigator's responsibility to ensure that the planned research is robust and properly financed"</i></p> <p>The <b>UofG's Code of Good Practice Section 3.6 on Documenting Results, Storing Data and its Future Use</b> states that</p> <p><i>"Regardless of the ownership of any IP, UofG requires continued access to data of long-term value which has been generated using University resources if the member of staff or student leaves UofG. Retention of data is necessary for several reasons, including the need to comply with funders' data access policy, and to assist in the investigation of research misconduct allegations. Note that this policy aligns with the current need to retain laboratory books 10 years after a project has ended. UofG is committed to ensuring that data derived from publicly funded research is made available to other organisations and individuals. Once results have been published, UofG expects researchers to deposit the data available in a trusted repository (for example, Enlighten: Research Data or a funder or subject repository) for long-term safekeeping and, subject to any restrictions by the funder or due to legal, ethical or commercial sensitivity, make the data openly available."</i></p>	<p><b><u>Current Practices</u></b></p> <p>UofG is granted research funding of £45m based on the <b>Research Excellence Framework (REF) 2014</b> report, and is a key measure by which UofG's research is judged against its peers. The successor report, <b>REF2021</b>, aims to provide accountability for public investment in research and produce evidence of the benefits of this investment.</p>
<p><b>7. Good practice in research</b></p> <p>Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data</p>	+	<p><b><u>Legislation or Policy</u></b></p> <p>The <b>Health and Safety at Work etc. Act 1974</b> is the relevant national legislation covering safe working practices.</p> <p>UofG's <b>Health and Safety Policy</b> applies to all research work conducted at UofG, and states</p> <p>"It is the policy of the University of Glasgow to ensure, so far as is reasonably practicable, the health, safety and welfare whilst at work of all employees and students of the University. It is also our policy to ensure, so far as is reasonably practicable, the health and safety of contractors, visitors and others who may be affected by the UofG's activities.</p>	<p><b><u>Current Practices</u></b></p> <p>The UofG's Health, Safety and Wellbeing committee oversees health and safety policy throughout UofG. Specialist advice and monitoring is provided by the Occupational Health Service.</p> <p>UofG's Data Protection and Freedom of Information Office provides guidance on managing research records explaining how to handle research data in compliance with</p>

<p>protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.</p>		<p>Research at the UofG is conducted in line with the directives of the <b>Data Protection Act 1998</b>.</p>	<p>legislation.</p> <p>Training is available in the following areas:</p> <ul style="list-style-type: none"> <li>• Health and Safety (mandatory workshops as appropriate, including radiation, fire safety etc.)</li> <li>• Data management</li> <li>• Data protection</li> <li>• Research integrity</li> <li>• Research ethics (mandatory where appropriate)</li> </ul>
<p><b>8. Dissemination, exploitation of results</b> All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</p>	<p style="text-align: center;">+</p>	<p><u>Legislation or Policy</u> The UofG's <b>Code of Good Practice Section 3.7.1 on Publishing Research</b> states that "Researchers have an obligation to communicate their research; indeed, it is usually a condition of research funding that the results are published in an appropriate form. One of the best systems for communicating research results is for them to be peer-reviewed through the refereeing process, and communicated to the research community for verification or replication. The person with overall responsibility for the research programme should authorise publication of results. Authorisation should cover both the content of the paper — integrity of results, adequacy of internal peer review, appropriate protection of IP rights, appropriate authorship — and the intended place of publication."</p>	<p><u>Current Practices</u> In order to be eligible for the next REF exercise, REF2021, research must meet specific Open Access criteria. All UofG researchers who are classed as lead author are required to notify the library of accepted publications. The Library provides specialist support and IT infrastructure (via the institutional repository Enlighten) to meet open access requirements.</p>
<p><b>9. Public engagement</b> Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's</p>	<p style="text-align: center;">+/-</p>	<p><u>Legislation or Policy</u> The UofG's <b>Knowledge Exchange and Innovation Strategy 2017-21</b> has Inclusive Community &amp; Public Engagement as one of its key Priorities and aims to specifically promote a culture of public and community engagement with our research, with a focus on socioeconomically disadvantaged communities, locally nationally and globally.</p>	<p><u>Current Practices</u> UofG runs successful Public Engagement Partnerships which engage external organisations to help involve the public in our research. Partner organisations include the Glasgow Science Festival and The Hunterian</p>



<p>understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.</p>		<p><b><u>“Gap” Analysis</u></b> UofG should enhance researcher awareness of public engagement opportunities.</p>	<p>Museum. <b><u>Suggestions For Improvement</u></b> Increase researcher awareness of public engagement opportunities and how these fit with an academic career, through a suite of methods (see Action Plan section).</p>
<p><b>10. Non discrimination</b> Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</p>	<p>+/-</p>	<p><b><u>Legislation or Policy</u></b> The <b>Equality Act 2010</b> requires UofG, in the exercise of our functions, to give due regard to the need to Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.</p> <p>Advance equality of opportunity between people who share a protected characteristic and those who do not. Foster good relations between people who share a protected characteristic and those who do not. The nine protected characteristics are as follows:</p> <ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• Gender re-assignment</li> <li>• Marriage and civil partnership</li> <li>• Pregnancy and maternity</li> <li>• Race</li> <li>• Religion or belief (including lack of belief)</li> <li>• Sex</li> <li>• Sexual orientation</li> </ul> <p>UofG has written an <b>Equality and Diversity Policy</b> in compliance with the relevant legislation which applies to all UofG staff. <b>The Dignity at Work and Study Policy</b> applies to all students and staff and supports the University’s commitment to create a working, learning and research environment where mutual respect and dignity is experienced by and between employees and students</p> <p><b><u>“Gap” Analysis</u></b> UofG diversity and equality training for promotion panels can be improved.</p>	<p><b><u>Current Practices</u></b> The UofG’s Equality and Diversity Strategy Committee is chaired by the Principal. The Committee’s remit is to consider UofG’s strategic planning and policy development matters relating to equality and diversity; to advise and make recommendations to UofG’s Court, Senate, Human Resources Committee, the Education Policy and Strategy Committee, Student Support and Development Committee and the Senior Management Group, as appropriate.</p> <p>Equality and Diversity training has been introduced by the Equality and Diversity Unit. It is mandatory for all staff to complete the training with a pass mark of at least 80%.</p> <p><b><u>Suggestions For Improvement</u></b> Unconscious bias training for promotions panels and other decision making panels (e.g. REF review panels), review maternity and paternity policies and good practice as part of Athena shared parental leave, improve equality and diversity training within PI programme (see Action Plan section).</p>

		UofG should consider new legislation on Shared Parental Leave Enhance PI awareness of diversity and equality legislation.	
<p><b>11. Evaluation/ appraisal systems</b> Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.</p>	+	<p><b><u>Legislation or Policy</u></b> The <b>Performance and Development Review Policy and Process</b> document outlines the Review process for all staff, including those on a zero-hours and fixed term basis.</p> <p>In addition, the UofG's <b>Early Career Development Programme Policy and Procedure</b> details the Annual Review process for early career researchers. In addition the ECDP Board of Review monitors progress of participants on an annual basis against Programme objectives</p>	<p><b><u>Current Practices</u></b> Performance &amp; Development Reviews are provided individually to all staff to ensure they receive active performance management and career development guidance at least annually. This enables PIs to actively encourage Continuing Professional Development (CPD) uptake by researchers.</p>
<p><b>2. Recruitment and Selection</b> – please be aware that the items listed here correspond with the Charter and Code. <b>In addition</b>, your organisation also needs to complete the checklist on <b>Open, Transparent and Merit-Based Recruitment</b> included below, which focuses on the operationalization of these principles.</p>			
<p><b>12. Recruitment</b> Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of</p>	+	<p><b><u>Legislation or Policy</u></b> The <b>Equality Act 2010</b> governs how employers should advance equality of opportunity to those with a protected characteristic through their recruitment process.</p> <p>The UofG has a <b>Recruitment &amp; Selection Policy</b> which supports managers through every step of the hiring process and provides guidance on achieving transparent, open and informative procedures.</p>	<p><b><u>Current Practices</u></b> UofG provides an online <b>Job Description</b> template which requires the essential and desirable key knowledge, skills and experience required for the post to be clearly documented within the description.</p>

<p>Conduct for the Recruitment of Researchers when appointing or recruiting researchers.</p>			
<p><b>13. Recruitment (Code)</b> Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.</p>	<p>+</p>	<p><b><u>Legislation or Policy</u></b> The UofG has a <b>Recruitment &amp; Selection Policy</b> which supports managers through every step of the hiring process and provides guidance on achieving transparent, open and informative procedures.</p>	<p><b><u>Current Practices</u></b> The <b>Recruitment &amp; Selection Policy</b> is available online on the UofG website in full.</p> <p>The <b>Recruitment &amp; Selection Policy</b> states that Research &amp; Teaching and MPA (Management, Professional &amp; Administrative) vacancies at Grade 6 and above will normally be advertised for 4 weeks on the University's website, other appropriate external websites and/or publications. MPA (up to and including Grade 6), Technical &amp; Operational vacancies will normally be advertised for two weeks on the University's website and other appropriate websites.</p> <p>UofG provides an online <b>Job Description</b> template which requires the essential and desirable key knowledge, skills and experience required for the post to be clearly documented within the description.</p>
<p><b>14. Selection (Code)</b> Selection committees should bring together diverse expertise and competences and should have an</p>	<p>+</p>	<p><b><u>Legislation or Policy</u></b> The UofG's <b>Recruitment &amp; Selection Policy</b> states that When appointing the Committee consideration should be given to the following:</p>	<p><b><u>Current Practices</u></b> Equality and diversity training must be completed by all members of selection panels.</p>

<p>adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.</p>		<ol style="list-style-type: none"> <li>1. The appointment committee's gender balance should reflect the gender representation of the subject specialism and at a minimum there should be at least one person of each sex represented;</li> <li>2. Any member of an Appointing Committee should declare any conflicts of interest to the Convener; (if unsure please discuss with your Recruitment Assistant or College HR Manager)</li> <li>3. Appointing Committee members cannot act as referees for candidates being interviewed;</li> <li>4. Training in Recruitment and Selection is mandatory.</li> <li>5. Careful consideration should be given to take account of principles of Equality and Diversity.</li> </ol> <p>Appointing Committee membership takes into account the role being recruited for, and varies accordingly.</p>	
<p><b>15. Transparency (Code)</b> Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.</p>	+	<p><b><u>Legislation or Policy</u></b> The UofG's recruitment process, detailed through its <b>Recruitment &amp; Selection Policy</b>, is available online.</p>	<p><b><u>Current Practices</u></b> The number of available vacancies is accessible via UofG's Jobs page where vacancies can be searched by potential applicants via drop down criteria or by viewing all live vacancies in one list.</p> <p>Standardised feedback is available to all shortlisted applicants and the UofG will consider requests for specialised feedback from individual candidates..</p>
<p><b>16. Judging merit (Code)</b> The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on</p>	+	<p><b><u>Legislation or Policy</u></b> UofG's <b>Statement on the Use of Quantitative Indicators in the Assessment of Research Quality</b> governs how quantitative assessment is used in evaluation of staff performance, and also applies to evaluation of applicants. The Statement declares that UofG will: "Adopt assessment procedures that are evidence-based and, as such, will use quantitative indicators only in tandem with qualitative indicators to assess the quality of research."  Bibliometric indices are normalised to account for factors such as</p>	<p>Selection Committee members are required to undergo Recruitment and Selection Training which trains members to recognise the value of both quantitative and qualitative traits when assessing a candidate.</p>

<p>outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.</p>		<p>publication date and sub-discipline variations.</p>	
<p><b>17. Variations in the chronological order of CVs (Code)</b>  Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.</p>	<p>+</p>	<p><b><u>Legislation or Policy</u></b>  The UofG’s recruitment process, detailed through its <b>Recruitment &amp; Selection Policy</b>, is available online.</p>	<p><b><u>Current Practices</u></b>  UofG requires that all candidates called for interview should be considered to meet the essential criteria, given the expectation that candidates will not otherwise be able to operate successfully in the role. Where a candidate does not meet one or more of the essential criteria, that candidate cannot be invited to interview. Where a large number of applicants appear to meet the essential criteria then the desirable criteria is used to identify those who are most suitable to be invited for interview.</p> <p>The selection process does not take the chronological order of or gaps between these achievements into account when assessing the essential and desirable criteria.</p>

<p><b>18. Recognition of mobility experience (Code)</b> Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.</p>	+	<p><b><u>Legislation or Policy</u></b> The UofG's recruitment process, detailed through its <b>Recruitment &amp; Selection Policy</b>, is available online.</p>	<p><b><u>Current Practices</u></b> <b>Recruitment and Selection Training</b> helps selection panels consider and recognise the merit of mobility experience in applicants.</p>
<p><b>19. Recognition of qualifications (Code)</b> Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.</p>	+	<p><b><u>Legislation or Policy</u></b> The UofG's recruitment process, detailed through its <b>Recruitment &amp; Selection Policy</b>, is available online.</p>	<p><b><u>Current Practices</u></b> Recruitment and Selection Training helps acquaint selection panel with the full range of academic and professional qualifications, including non-formal qualifications that applicants may possess.</p>
<p><b>20. Seniority (Code)</b></p>	+	<p><b><u>Legislation or Policy</u></b></p>	

<p>The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</p>		<p>The University's <b>Selection and Recruitment Policy</b> states that "It is extremely important that the content of the job description clearly reflects the duties, skills and experience required for the post."</p> <p>See Clause 16: Judging merit (Code).</p>	
<p>21. Postdoctoral appointments (Code) Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.</p>	<p>+/-</p>	<p><b><u>Legislation or Policy</u></b> UofG aims to balance the legal requirement to maintain employment with promoting career development among researchers. UofG also aims to maintain the post doc researcher opportunities available to newly graduated PhD students.</p> <p><b><u>"Gap" Analysis</u></b> Some researcher positions, e.g. Technician posts, are not adequately recognised within our current Job Family structure.</p>	<p><b><u>Suggestions for Improvement</u></b> Create a new Job Family positions which better suits the researcher positions not considered by the current Job Family roles.</p>

### 3. Working Conditions and Social Security

<p><b>22. Recognition of the profession</b> All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).</p>	+	<p><b><u>Legislation or Policy</u></b> UofG's job structure and hierarchy is detailed in the <b>Staff Handbook</b>. The latest version of this handbook can be found here: <a href="https://www.gla.ac.uk/myglasgow/humanresources/handbook/online/">https://www.gla.ac.uk/myglasgow/humanresources/handbook/online/</a></p> <p>UofG aims through its <b>Pay and Grading Policy</b> to ensure that the level of pay reward is equal and appropriate to the relative size and content of the job. Within this framework, Research and Teaching positions have their own distinct Job Family, and pay and recognition of work are based around level of academic and professional experience.</p>	<p><b><u>Current Practices</u></b> Researchers working at postgraduate level have their qualifications assessed upon application and are judged to have the appropriate qualifications for the position.</p>
<p><b>23. Research environment</b> Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.</p>	+	<p><b><u>Legislation or Policy</u></b> The <b>Health and Safety at Work etc. Act 1974</b> is the relevant national legislation covering safe working practices. UofG's <b>Health and Safety Policy</b> applies to all research work conducted at UofG, and states "It is the policy of the University of Glasgow to ensure, so far as is reasonably practicable, the health, safety and welfare whilst at work of all employees and students of the University. It is also our policy to ensure, so far as is reasonably practicable, the health and safety of contractors, visitors and others who may be affected by the UofG's activities."</p>	<p><b><u>Current Practices</u></b> UofG funds a number of research networks. These networks are groups of researchers, often from multiple disciplines, that collaborate to organise workshops and lecture series and produce media that advance their research themes. Such networks include Glasgow Refugee Asylum and Migration Network (GRAMNet) and the Glasgow Centre for International Development (GCID).</p>
<p><b>24. Working conditions</b> Employers and/or funders should ensure that the working conditions for</p>	+/-	<p><b><u>Legislation or Policy</u></b> UofG's <b>Flexible Working Policy</b> details the procedure for employees wanting to request flexible working arrangements. UofG supports the principle of</p>	<p><b><u>Current Practices</u></b> UofG has published Case Studies of flexible working online to publicise the different</p>



<p>researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, <i>inter alia</i>, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</p>		<p>flexible working and undertakes that all requests will be considered seriously. The Policy is easily accessible on the UofG website and covers both long-term and temporary flexible working hour requests.</p> <p><b>“Gap” Analysis</b> UofG should increase number of researcher-led events or networks, and improve awareness of researcher-led funds. New activities from Athena SWAN action plans will help to ensure local action is taken to address local needs, priorities and issues. UofG should undertake further action to raise awareness of welfare in the workplace.</p>	<p>working time opportunities available to staff.</p> <p><b>Suggestions For Improvement</b> Encourage more researcher-led events, develop ECR societies at Schools and Institutes, establish ECR visibility in new UofG Strategy. Develop Athena swan action plans for individual Schools. Start an awareness campaign in relation to the Dignity at Work and Study Policy and Harassment Volunteer Network (see Action Plan section).</p>
<p><b>25. Stability and permanence of employment</b> Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the <i>EU Directive on Fixed-Term Work</i>.</p>	<p>+/-</p>	<p><b>Legislation or Policy</b> UofG’s <b>Extended Workforce Policy</b> (sections 2 and 7) sets out the terms for Fixed Term Contracts in the UofG.</p> <p>Fixed Term contracts are only used in very defined and limited circumstances, such as when there is no ongoing opportunity available. Posts must advertise these circumstances through iGrasp.</p>	<p><b>Current Practices</b> Open-ended contracts have been the contractual norm for many years. This was reviewed in 2014 alongside the ECDP. There has also been a move towards principles-based contract selection. UofG works with Trade Unions to review use of contracts, particularly those on Fixed Term Contracts and funding more open ended contracts</p> <p><b>Suggestions For Improvement</b> Conduct future survey analysis to improve career trajectory knowledge, and assess abundance of open-ended contracts (see Action</p>

			Plan section).
<p><b>26. Funding and salaries</b></p> <p>Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.</p>	+	<p><b><u>Legislation or Policy</u></b></p> <p>All researchers are employed by the UofG on a contract with standard terms and conditions in line with all other staff. All roles are formally graded and staff paid in line with national pay scales.</p>	
<p><b>27. Gender balance</b></p> <p>Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation</p>	+/-	<p><b><u>Legislation or Policy</u></b></p> <p>Gender equality is legislated through the <b>Equality Act 2010</b>.</p> <p><b><u>“Gap” Analysis</u></b></p> <p>UofG should continue its work towards Athena SWAN recognition at departmental level. Further policies can be implemented towards parental leave. The UofG should ensure that different genders are represented equally in communication channels and events.</p>	<p><b><u>Current Practices</u></b></p> <p>Court approved UofG’s <a href="#">Equality Outcomes</a> in 2013 and has embraced its obligations under the wider Public Sector Equality Duties applicable in Scotland.</p> <p>UofG is a member of the Athena Swan Charter which encourages the advancement of women in higher education and research.</p> <p><b><u>Suggestions For Improvement</u></b></p> <p>Athena SWAN ‘departmental’ targets, implementation of shared parental leave</p>

<p>committees should have an adequate gender balance.</p>			<p>policies, maternity returner scheme, childcare provision for conference attendance etc. and appropriate role models used in events, communications etc. (see Action Plan section).</p>
<p><b>28. Career development</b> Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.</p>	<p>+/-</p>	<p><b><u>Legislation or Policy</u></b> UofG's <b>Code of Practice for the Management of Research Staff</b> sets out responsibilities for the UofG in managing and encouraging the career development of its researchers. <b><u>"Gap" Analysis</u></b> The UofG should expand its ECDP to accommodate Leadership Fellows. It should review P&amp;DR resources to ensure they are providing maximum utility to researchers. Quantification of promotion metrics should be explored, and the potential for career development funding to be increased.</p>	<p><b><u>Current Practices</u></b> UofG's Performance and Development Review (PDR) process helps to support staff in maximizing their contribution and furthering their development. The three primary elements of PDR are</p> <ul style="list-style-type: none"> <li>• Performance review</li> <li>• Setting of aligned objectives</li> <li>• Planning for relevant professional and career development</li> </ul> <p>UofG's Early Career Development Programme (ECDP) supports newly appointed academic staff to seek out opportunities to enhance their academic skills and progress their career. The Programme consists of both College-mediated and mentor-supervised activities such as workshops, CPD and lectures.</p> <p>UofG runs an annual Research Staff Conference which enables early-career researchers to get advice on career progression and information on opportunities for personal and professional skill development available at UofG.</p> <p><b><u>Suggestions For Improvement</u></b> Offer future recruitment rounds for Leadership Fellows, Review effectiveness of P&amp;DR forms and PDP materials. Produce updated Fellowship Application guide, introduce an online P&amp;DR system, explore scope for small pots of funding,</p>

			within Colleges, to be used to encourage researchers to improve their skills at writing funding applications (See Action Plan Section).
<p><b>29. Value of mobility</b> Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.</p>	+/-	<p><b><u>"Gap" Analysis</u></b> The UofG should increase awareness and uptake of placements or secondments outside HE. Additionally, it should promote availability and participation in employer events open to researchers.</p>	<p><b><u>Current Practices</u></b> UofG recognizes the importance of geographical and interdisciplinary mobility. "Connecting with the world through internationalisation" is one of the UofG's key missions in its University Strategy 2015-2020 "Inspiring People Changing the World". The Strategy also encourages staff exchanges through enhanced support and welcome packages.</p> <p>The Glasgow Knowledge Exchange Fund (GKE) is a three year commitment of funding over the period 2015-2018 from UofG to support University of Glasgow research staff to deliver high-quality knowledge exchange activities and impact generation. It operates via three streams: the GKE Flexible fund, for applications of between £2,000-£30,000, the GKE Small Grants Fund, for applications less than £2,000 and the GKE Public Engagement Kickstarter Fund for applications for less than £1000 to support new public and community engagement initiatives.</p> <p><b><u>Suggestions For Improvement</u></b> Use Knowledge Transfer Partnerships (KTP) to</p>

			improve awareness and uptakes of placements, promote funding opportunities available for international mobility, encourage ECR participation in careers events. Make contact with other Higher Education Institutions to encourage collaborations on events that develop the mobility of our researchers. (see Action Plan section).
<p><b>30. Access to career advice</b> Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.</p>	+/-	<p><b><u>Legislation or Policy</u></b> The <b>Code of Practice for the Management of Researchers</b> helps to raise awareness of roles and responsibilities of PIs and researchers. Employee and Organisational Development offer training to support PIs with management, in addition to local offerings (such as the Arts Lab session on 'managing RAs'). All UofG staff undertake P&amp;DR, which includes objective setting and production of a PDP.</p> <p><b><u>"Gap" Analysis</u></b> The UofG should create more targeted programmes and workshops on careers advice. Increase PI awareness and understanding of the importance of careers advice.</p>	<p><b><u>Current Practices</u></b> UofG's Careers Service and Careers Adviser for research staff offer a wide range of services, ranging from workshops to employer events and one to one appointments.</p> <p><b><u>Suggestions For Improvement</u></b> Target PIs with presentations of giving career advice. Develop a workshop supporting researchers approaching the end of their contract to better facilitate career management (see Action Plan section).</p>
<p><b>31. Intellectual Property Rights</b> Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&amp;D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific</p>	+	<p><b><u>Legislation or Policy</u></b> UofG's <b>Code of Good Practice Section 3.4 on intellectual property and Commercialisation</b> states that "Researchers should be aware of, and take appropriate steps to protect, any intellectual property (IP) arising from their work. UofG wishes to encourage the development and exploitation of its intellectual property, through whichever means is most appropriate, to the benefit of UofG, its staff and as part of its contribution to society. Researchers, including students and their supervisors, should be aware of UofG's Intellectual Property and Commercialisation Policy 2, which includes details of rights to any IP, and any income generated from their work." UofG's <b>Policy for Intellectual Property and Commercialisation</b> contains further information on IP rights for researchers.</p>	<p><b><u>Current Practices</u></b> IP is discussed in University workshops for ECRs.</p> <p>UofG's IP and Commercialisation team offer support to researchers hoping to spin out their research and maintains a strategic partnership with venture capital investor IP Group plc.</p>

collaboration agreements or other types of agreement.			
<p><b>32. Co-authorship</b>  Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research.  Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor (s).</p>	+	<p><b><u>Legislation or Policy</u></b>  UofG’s <b>Code of Good Practice Section 3.7.3</b> provides guidelines on authorship, disputed authorship and avoiding poor practice surrounding authorship.</p>	
<p><b>33. Teaching</b>  Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers’ career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from</p>	+/-	<p><b><u>Legislation or Policy</u></b>  Responsibilities for teaching vary depending on requirements from funders, but guidelines for researchers and PIs are set out in the <b>Code of Practice for the Management of Research Staff</b>  <b><u>“Gap” Analysis</u></b>  Enhance research staff awareness of teaching opportunities and improve the reach and effectiveness of said opportunities.</p>	<p><b><u>Current Practices</u></b>  UofG’s Learning Enhancement &amp; Academic Development Service (LEADS) is open to researchers who wish to develop their teaching practice and skills. It provides the opportunity to build up a reflective portfolio and apply for Associate Fellow HEA membership. GTA workshops are available for tutoring/demonstrating.  LEADS run the Annual Learning and Teaching</p>

<p>carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.</p>			<p>Conference which offers dual research/teaching staff an opportunity to expand their skillset in the classroom.  <b>Suggestions For Improvement</b>  Examine LTC input to Research Staff Conferences (see Action Plan section).</p>
<p><b>34. Complaints/ appeals</b></p> <p>Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the</p>	<p>+</p>	<p><b><u>Legislation or Policy</u></b></p> <p>The UofG is required to meet workplace standards of health, safety and welfare as defined by the <b>Health and Safety at Work Act 1974</b>.</p> <p>The UofG's <b>Complaints Procedure</b> includes relevant information defining what constitutes a complaint, timelines for complaint procedures and how complaints are recorded and confidentiality maintained. Complainants are entitled to ask an independent external review body (the SPSO) to look at their complaint if they are dissatisfied with the results of the UofG's Complaints Procedure.</p>	

working environment.			
<p><b>35. Participation in decision-making bodies</b> Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</p>	+/-	<p><b><u>Legislation or Policy</u></b> <b><u>“Gap” Analysis</u></b> UofG should better publicise representation of researchers on committees at a College or University level. Increase number of staff-led Forum events.</p>	<p><b><u>Current Practices</u></b> Researchers are represented on the UofG’s Researcher Development Committee, Joint Committee (Academic Staff) and the Collective Consultation Forum.</p> <p>UofG participated in the Careers in Research Online Survey. The most recent survey, CROS 2015, saw a participation rate of 40%, compared to an average of 28%.</p> <p><b><u>Suggestions For Improvement</u></b> Publicise committee representation online and hold two “Postdoctoral Forum” events each year (see Action Plan section).</p>
<b>4. Training and Development</b>			
<p><b>36. Relation with supervisors</b> Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty or departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.</p>	+	<p><b><u>Legislation or Policy</u></b> The <b>Code of Practice for the Management of Researchers</b> sets out the responsibilities of PIs, mentors, researchers and the University in terms of structured progress.</p> <p>Note that PGR training and supervisory relationships are covered in other Quality Assurance processes within the University and have not been considered as part of this HR submission (as PGRs are not considered to be members of staff).</p>	



<p><b>37. Supervision and managerial duties</b> Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.</p>	<p>+/-</p>	<p><b><u>Legislation or Policy</u></b> The <b>Code of Practice for the Management of Researchers</b> helps to raise awareness of mentor roles. Each School is responsible for identifying a mentor and clarifying mentor arrangements. The guidance that informs this process can be found in the UofG's Mentoring Scheme Best Practice document.</p> <p><b><u>"Gap" Analysis</u></b> The UofG should make it easier for senior researchers to discuss their own development needs. Make management resources more easily accessible to PIs, better ascertain effectiveness of P&amp;DR training. Create new development programmes for senior researchers who want to develop their leadership abilities.</p>	<p><b><u>Current Practices</u></b> Recommendations from The Code of Practice for the Management of Researchers have been adopted into the Early Career Development Programme, which makes clear the need for each researcher to have a mentor identified at the beginning of their research programme. To help assist mentors, a Mentoring Toolkit has been made available on the UofG website.</p> <p><b><u>Suggestions For Improvement</u></b> Use staff surveys to better hear the opinions of PIs and disseminate the Code of Practice for the Management of Researchers among PIs. Assess online P&amp;DR participation. Pilot and review a Senior Research Leaders development programme (see Action Plan section).</p>
<p><b>38. Continuing Professional Development</b> Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.</p>	<p>+/-</p>	<p><b><u>Legislation or Policy</u></b> The <b>Code of Practice for the Management of Researchers</b> helps to raise awareness of roles and responsibilities of PIs and researchers.</p> <p><b><u>"Gap" Analysis</u></b> UofG should recognise need for increased participation in CPD, and to promote CPD opportunities</p>	<p><b><u>Current Practices</u></b> <a href="#">Employee and Organisational Development</a> offer training to support PIs with management, in addition to local offerings (such as the Arts Lab session on 'managing RAs'). All UofG staff undertake PDR, which includes objective setting and production of a PDP.</p> <p><b><u>Suggestions For Improvement</u></b> Set aim of 5 days/year of CPD/researcher, and use online resources to measure CPD participation (see Action Plan section).</p>
<p><b>39. Access to research training and continuous development</b></p>	<p>+/-</p>	<p><b><u>Legislation or Policy</u></b> The <b>Code of Practice for the Management of Researchers</b> helps to raise</p>	<p><b><u>Current Practices</u></b> <a href="#">Employee and Organisational Development</a></p>

<p>Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.</p>		<p>awareness of roles and responsibilities of PIs and researchers.  <u><b>"Gap" Analysis</b></u>  Increase understanding of importance of Researcher Development at a School/RI level. Enhance provision of career progression resources.</p>	<p>offer training to support PIs with management, in addition to local offerings (such as the Arts Lab session on 'managing RAs'). All UofG staff undertake PDR, which includes objective setting and production of a Personal Development Plan..  <u><b>Suggestions For Improvement</b></u>  Embed Researcher Development in School/RI meeting agendas, create a researcher development web portal, publicise Fellowship Opportunities, implement promotion workshops (see Action Plan section).</p>
<p><b>40. Supervision</b>  Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.</p>	<p>+/-</p>	<p><u><b>Legislation or Policy</b></u>  The <b>Code of Practice for the Management of Researchers</b> helps to raise awareness of mentor roles. Each School is responsible for identifying a mentor and clarifying mentor arrangements. The guidance that informs this process can be found in the UofG's Mentoring Scheme Best Practice document.  <u><b>"Gap" Analysis</b></u>  Introduce peer-mentoring resources and evaluate current mentoring schemes, improve recognition of achievements in mentoring.</p>	<p><u><b>Current Practices</b></u>  <u><b>Suggestions For Improvement</b></u>  Pilot a Fellowship peer-mentoring programme in the College of Science and Engineering, integrate Athena SWAN mentoring schemes with existing University schemes, introduce a 'Mentor of the Year' award, examine time commitment burdens on Mentors (see Action Plan section).</p>



## Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list<sup>3</sup>

### OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	++	<a href="https://www.gla.ac.uk/myglasgow/humanresources/recruitment/selection/#d.en.263506">https://www.gla.ac.uk/myglasgow/humanresources/recruitment/selection/#d.en.263506</a> and for <a href="#">PGRs (PGR Code of Practice)</a>
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	The Recruitment and Selection Policy, the UofG's internal recruitment guide, is available on the UofG website. This policy makes clear the OTM-R procedures for all staff positions within the UofG.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	++	All staff on Appointing Committees are required to sit Equality and Diversity training and to complete an online assessment into Recruitment and Selection Policy. All Staff undertaking PGR recruitment are required to undertake supervisor training and equality and diversity training.
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	++	The University uses an e-Recruitment system for the entire recruitment process. This can be accessed through the UofG's website <a href="https://frontdoor.spa.gla.ac.uk/login/">https://frontdoor.spa.gla.ac.uk/login/</a> .
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	HR makes sure that all positions are openly advertised. Graduate Schools have oversight of the admissions process, as set out in the <a href="#">PGR code of practice</a> .
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	The majority of Glasgow job applications are external candidates (no exact figure available) and 25- 40% of PhD candidates in our four Graduate

<sup>3</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					Schools are international (outside of the EU).
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	Internationalism for staff and student recruitment is one of the key aims of the UofG's University Strategy 2015-2020.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	The University aims to attract underrepresented groups to available positions through developing strategy in line with Athena SWAN guidelines. UofG monitors data on applications by gender and ethnicity, gender pay gap figures and academic staff numbers from underrepresented groups.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	The UofG measures overall staff satisfaction through the CROS survey and a staff survey, which runs biannually.
10. Do we have means to monitor whether the most suitable researchers apply?	x	x	x	++	UofG closely works with Athena SWAN legislation which tracks application submissions from candidates with protected characteristics to help assess whether the most suitable candidates have applied.
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x	x	++	The Recruitment and Selection Policy includes template Job Descriptions. The Policy also includes guidelines for how to advertise positions.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report <sup>4</sup> ]	x	x	x	+-	UofG's Recruitment and Selection Policy meets the appropriate elements of the OTM-R toolkit, but the policy is not advertised in adverts.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x	x	+-	Euraxess is used but insufficient data is available on: - The share of job adverts posted on EURAXESS; - Trend in the share of applicants recruited from outside the organisation/abroad
14. Do we make use of other job advertising tools?	x	x	x	++	Positions are advertised on national job websites and industry-specific websites.
15. Do we keep the administrative burden to a minimum	x	x	x	++	The only documents usually required for applications

<sup>4</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

for the candidate? [see Chapter 4.4.1 b) <sup>45</sup> ]					are a CV and cover letter, with contact details for supporting references also required. No original or translated certificates are required in the initial application and all submissions are managed electronically.
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) <sup>45</sup> ]	x	x	x	++	The University's Recruitment and Selection Policy includes guidelines for selection of appointing committees. See Gap Analysis Section 14. <b>Selection (Code).</b>
17. Do we have clear rules concerning the composition of selection committees?	x	x	x	++	The University's Recruitment and Selection Policy includes guidelines for composition of appointing committees. See Gap Analysis Section 14. <b>Selection (Code).</b>
18. Are the committees sufficiently gender-balanced?	x	x	x	++	The University's Recruitment and Selection Policy states that appointing committees should reflect the gender representation of the subject specialism and at a minimum there should be one persona of each sex represented.
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?	x	x	x	++	Selection Committees are given Recruitment and Selection Training to help make sure that the best candidate is selected for every position. Athena SWAN initiatives in UofG also help makes sure equality and fairness among UofG's applicant selection process.
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?	x	x	x	++	All unsuccessful candidates are notified at the end of the selection process.
21. Do we provide adequate feedback to interviewees?	x	x	x	++	Standardised feedback is available to all applicants and the UofG will consider requests for specialised feedback from individual candidates.
22. Do we have an appropriate complaints mechanism in place?	x	x	x	++	Complaints can be made in line with the framework of the wider UofG Complaints Procedure.
<b>Overall assessment</b>					

23. Do we have a system in place to assess whether OTM-R delivers on its objectives?	x	x	x	++	The University's Recruitment and Selection Policy is Reviewed and Updated Regularly.
--	---	---	---	----	--