

Action Plan 2014 – 2018

Principle 1	Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.	
Clause	Evidence and Actions	
1. All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	What we do already Heriot-Watt has a clear strategy for Research Intensification and aims to be a leading technological and business university renowned for innovation, defining our presence on the international stage in areas of key world importance. This is evident through the Global Platform Recruitment initiative, targeting the recruitment of internationally competitive research leaders. As part of the research strategy for the University, there is also a focus to recruit high quality academic researchers at the applied end of the spectrum to lead the knowledge exchange agenda. The reward and promotion processes were reviewed in 2013 and re-launched in March 2014. These changes were communicated to staff through... meetings in the academic Schools, led by the Deputy Principal (External Relations) and HR Partners, as well as wider digital communications. What we need to do Present arrangements will remain unchanged. How and when 1.1.1 Human Resources (HR) and HR processes will ensure the relevant training is provided, publicised and attended.	
2. Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.	What we do already Heriot-Watt has a clear and transparent recruitment and people management process: making sure that everything from job adverts, to interviews, role descriptors, performance development review (PDR), is clear and has advancement of research explicitly expressed. The policies and procedures are available on the website. In regard to diversity, on all adverts for academic and research posts at our UK campuses, HW uses the following: <i>"Applications are particularly welcome from women and black and minority ethnic candidates, who are under-represented in academic posts at Heriot-Watt"</i>	

	HW is recognised by the ‘two ticks scheme’ whereby the University guarantees an interview where an individual who has declared a disability meets the essential criteria for the post. Person specifications should clearly identify essential and desirable skills. Advice is given on how to identify/write these for all recruiting managers. What we need to do Present arrangements will remain unchanged. How and when 1.2.1 HR will continue to provide information online for current and potential staff members in a clear and transparent manner. 1.2.2 HR will continue to promote diversity on all academic job posts in liaison with the Athena SWAN Project Officer, reporting in 2016 at the end of the current Athena SWAN award. 1.2.3 HR will ensure the University maintains the ‘two ticks scheme’.
3. Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	What we do already Limited life projects may employ researchers on a fixed-term basis. Where this occurs, Heriot-Watt’s Policy on the use of Fixed-Term Contracts states that where a member of staff accrues 3 or more years’ service, they are transferred to an open ended contract. Recruitment and selection policy regularly reviews staff that may be on a fixed-term contract. HR currently has the ability to use contract letters to provide data on those applicable. What we need to do Utilise iHR to help HR monitor and bring up for review those on fixed-term contracts through the Vacancy Management Group. How and when 1.3.1 HR will use iHR to monitor those on fixed-term contracts to ensure the VMG is aware of the right people at the right time. HR should also monitor those moved from fixed-term to open-ended contracts.
4. To assure fairness, consistency and the best assessment of the candidates’ potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should	What we do already University Ordinances outline the composition of selection panels from an academic perspective. Online recruitment and selection training, supplemented by interview skills workshops are provided. At least 1 member of the panel should have undertaken this training. Templates for all stages of the process are used by recruiters and enable them to be able to give constructive feedback where requested. Feedback is made available to all interviewees at their request.

have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development	What we need to do Ensure that selection panels follow the University Ordinances, and that recruiters are aware of, and using the templates provided. Continue to provide interview feedback if requested. How and when 1.4.1 HR will continue to provide online recruitment training, and monitor adherence to policy. Alongside the rollout of i-Recruitment (Phase 2 of iHR), HR will review and develop 'best practice guides' for managers/others which would include advice on ensuring panels reflect diversity as well as experience. This should begin in 2015 and be reviewed annually.
5. The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.	What we do already HWU uses agreed level descriptors which are linked to grade, and has a standard job evaluation system (HERA), accepted in the university sector and used across the UK. Pay structures adhere to the framework agreed as part of New JNCHEs, and is standardised across HW in the UK. However pay <i>within</i> the framework is on the basis of role, past performance and experience. What we need to do Present arrangements will remain unchanged. How and when 1.5.1 HR will continue to support role evaluation.

Principle 2	Researchers are recognised and valued by their employing organisation as an essential part of their organisation's Human Resources and a key component of their overall strategy to develop and deliver world-class research.	
Clause	Evidence and Actions	
1. Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.	What we do already The University operates according to a set of values, including ‘Valuing and respecting everyone’. This forms the basis for all staff management.	
	All staff have access to the same benefits package (redundancy/redeployment policies, pensions, cycle to work, childcare, holidays, discounts etc.), and there is no differentiation for fixed term contractors. The Heriot-Watt Research Strategy outlines a number of objectives to support the development of researchers at all levels across the University.	
	What we need to do Present arrangements will remain unchanged.	
	How and when 2.1.1 The University will continue to provide the same benefits package to all staff. 2.1.2 OD and ALD will continue to provide development support for research staff.	
2. Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.	What we do already HW abides by the principles and terms laid down by the 2002 Regulations, which also reflects the JNCHES guidance on use of fixed term contracts.	
	What we need to do Present arrangements will remain unchanged.	
	How and when 2.2.1 HR will ensure that the University maintains compliance with Regulations and guidance.	

3. Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.	What we do already Heriot-Watt has a clear strategy for Research Intensification, and its Performance Development Review (PDR) process discusses performance expectations related to this. The reward and promotion processes reviewed in March 2014 have been communicated across the University. The new processes explicitly include the need to discuss (at least annually) a researchers career, their aspirations, and what development is required to enable the individual to progress: More training for Principle Investigators (PIs) will be made available through the Research Futures programme. For PIs new to the University, a 'First 100 days' toolkit for managers was produced in 2014 by Organisational Development, which includes a section on research management. This is available on the University intranet and was communicated to staff by the Secretary of the University. The University Executive agreed in 2014 to introduce mandatory training for Supervisors of PGR students and this will be rolled out to new supervisors as well as existing supervisors. It will include training in managing people. The PI and Supervisory training will include reminders of the need to allow staff time to attend career development opportunities. For the Research Excellence Framework (REF), all panellists were trained in equality and diversity, and fully aware of the special circumstances processes, provisions and approach. This appears to have worked well, as there were no complaints or objections to selection. What we need to do Provide training more specific to PIs, to cover not only the skills needed by PIs towards people management, but also the responsibility of the PI towards the career development of their researchers. How and when 2.3.1 The Researcher Development Coordinator will work with colleagues across ALD, OD and the Research Staff Working Group to provide additional provision of support and training for PIs. This should be piloted in 2014/15 and implemented fully by 2015/16.
4. Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to	What we do already HW has a centralised process for appointments, and managing redeployment (Vacancy Management Group). All those 'potentially at risk' are reported to this group to allow consideration of vacancies for those at risk. The majority of positions are advertised internally first. All Academic schools manage their own pooling of researchers, which is facilitated by the financial systems and cost allocation. Staff can be and are 'allocated' to multiple grants through the financial system, which allows for staffing flexibility.

make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.	What we need to do Present arrangements will remain unchanged.
	How and when 2.4.1 The VMG shall continue to provide a centralised process for appointments.
5. Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.	What we do already HWU has an agreed promotion procedure for all staff (including research staff). This is published on the web and the Deputy Principal carried out a series of presentations for all academic staff detailing the procedures after they were reviewed. Additionally, email communication from senior management (typically via Corporate Communications) and written notices are used to communicate formal policy changes. All staff (including research staff) are eligible for the full range of benefits, including bonus and contribution payments.
	What we need to do Ensure that communication of progression procedures and policy to staff is effective.
	How and when 2.5.1 When a policy is changed or updated, the group/committee who produces the policy will communicate it to the staff using a number of routes.
6. Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.	What we do already Career pathways have been developed as part of the promotion procedures . All staff need to have a career planning discussion as part of their Performance and Development Review which is held at least annually. In addition to the training offered through Research Futures (Centre for Academic Leadership & Development, ALD), and Organisational Development (OD), a number of programmes offer career development opportunities across the University, for example Converge Challenge and the Fellowship College (offered through Research & Enterprise Services), career management training and Heriot-Watt Crucible (offered through ALD).
	What we need to do Career pathways/ opportunities should continue to be communicated in a variety of ways. Discussions around career planning need to be embedded in the PDR process.
	How and when 2.6.1 HR will continue to roll out training for PDR Reviewers, which will include a section on career development, this training happens between eight and ten times throughout each year. 2.6.2 ALD and OD will aim to ensure that the publicising of information regarding the development opportunities is effective, reviewing the use of the external facing ALD website and the use of SharePoint by August 2016 (after at least two full years of online information availability), using Google Analytics, for which the University has a license.

Principle 3	Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.	
Clause	Evidence and Action	
1. It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.	What we do already All members of staff of Heriot-Watt University, regardless of contract type, are entitled to a number of benefits, including career development support. The career development support is primarily coordinated through Organisational Development (OD) and the Centre for Academic Leadership & Development (ALD). The opportunities and benefits offered are mentioned throughout this review. Researcher managers are required to have a PDR discussion with their research team on an annual basis, covering performance, development and career prospects.	What we need to do Continue to provide up-to-date online content with signposting to relevant development opportunities. Continue to review, using iHR, to ensure these conversations take place. How and when 3.1.1 ALD should review the use of the Current Opportunities webpage in August 2016, after two full years of usage, using Google Analytics, for which the University has a license. 3.1.2 HR will use iHR to ensure PDR conversations take place, to be reviewed March 2016, after the first year of using iHR.
	What we do already The Institution offers a Career Thinking workshop to all staff, organised by OD, designed to support staff in managing their career; this is supplemented by the option of 1:1 coaching. In the past two years, no researchers have attended the workshop, but researchers comprise 10% of the total of those who have had 1:1 coaching. The ‘Strategic Career Management’ workshop run by ALD includes discussion on the traditional and non-traditional career trajectories of researchers. A number of events are held throughout the year organised by Research Staff Representatives with respect to career development in particular disciplines. For example, the School of Engineering & Physical Sciences organised a careers morning in October 2013 with internal and external speakers for research staff and research students, to discuss discipline specific career options.	
2. A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.		

	What we need to do Present arrangements will remain unchanged. How and when 3.2.1 ALD and OD will continue to provide career management workshops, reviewing the provision on an annual basis. 3.2.2 The Researcher Development Coordinator will continue to support Research Staff Representatives through the Research Staff Working Group.
3. Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.	What we do already The Centre for Academic Leadership & Development (ALD) helps early career researchers and academic staff maximise their research and teaching capacity and career development via award-winning programmes which provide training and development opportunities in the following areas: 1. Academic leadership <i>e.g. Heriot-Watt Crucible, Scottish Crucible</i> a) Heriot-Watt Crucible is a prestigious leadership and development programme for academic researchers at Heriot-Watt University and partner institutions based on the Scottish Crucible programme which we also design and lead nationally. Through an intensive, 3 month programme, Heriot-Watt Crucible fosters key academic attributes of collaboration, interdisciplinarity, innovation and leadership. The programme is open to all academic disciplines and participants are selected via nomination from their Heads of School or Directors of Research. Heriot-Watt Crucible aims to help participants develop skills, knowledge and connections to enhance their innovative research capacity and impact through interdisciplinary collaborations and knowledge exchange. It engages researchers with numerous senior experts from academia, industry, media and government, and culminates in the development of novel research collaborations which add extra potential to researchers' academic profiles and career development. 2. Teaching enhancement <i>e.g. PG CAP and LEADS</i> a) A recognised professional qualification in Higher Education, the Postgraduate Certificate in Academic Practice (PG CAP) aims to help those who support learning and teaching to become confident and effective as teachers, facilitators of learning, and researchers. It provides an excellent networking opportunity for staff as it is available across disciplines and campuses. The programme enhances teaching and learning at Heriot-Watt University, provides professional recognition and offers staff a route to fellowship of the Higher Education Academy. 3. Researcher skills and career development <i>e.g. Research Futures</i> a) The Research Futures workshop programme provides a wide range of over 30 skills courses across each academic year for research staff. In the past two years, 45% of staff participation has been research only staff (the remaining 55% academic staff either teaching-only or teaching and research). These courses are mapped to the Researcher

	Development Framework, and include skills such as project management, supervision, academic writing, knowledge exchange, leadership and public engagement. 4. Knowledge Exchange and Public Engagement <i>e.g. HW Engage, KE Scotland Conference, HW Exchange events</i> a) HW Engage promotes, stimulates and supports public engagement activities by the research community. It was established in 2013 to build upon Heriot-Watt's partnership with the Beltane Network, one of six UK Beacons for Public Engagement funded by Research Councils UK, the Funding Councils and the Wellcome Trust. The vision of HW Engage is to embed public engagement activities into academic life at Heriot-Watt University, building on our strong history of public engagement with local, national and international communities. HW Exchange events develop innovative ideas for research collaboration between Heriot-Watt University researchers and researchers at external partner organisations. In the past two years HW Exchange events have been held with the Moredun Research Institute and British Geological Survey, a further event with a third partner is at the discussion stage. What we need to do Maintain a diversity of provision throughout ALD, including the Research Futures workshop programme, reviewing on an annual basis to ensure workshops are relevant and informative. How and when 3.3.1 The Researcher Development Coordinator will review the Research Futures programme every July, looking at participation and feedback from the programme, as well as updates in Researcher Development nationally. 3.3.2 The Head of ALD shall ensure that reviews of each strand of the department are carried out annually each July in line with budget reviews.
4. All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.	What we do already ALD provides a "Strategic Career Management" workshop and one-to-one sessions, facilitated by an external expert to enable transparent and confidential career discussions. These are provided by the Centre for Academic Leadership & Development's Research Futures programme. Staff are supported in undertaking industry placements or secondments through funded schemes such as the EPSRC Impact Acceleration Account. What we need to do Improve the accessibility of information on development opportunities by hosting information on all development options in one online site. Continue to support staff in actively seeking placements and secondments. How and when 3.4.1 ALD staff trained in use of the University's website design system will keep the 'Current Opportunities' page up to date, updating once per fortnight as and when new opportunities are announced.

	3.4.2 RES continue to provide support to staff seeking placements and secondments, keeping a record of opportunities undertaken, reporting annually to RKEB.
5. Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.	What we do already Contracts, role descriptors, promotion processes and PDR expectations are all available online. The reward and promotion processes have been recently reviewed and re-launched, including cross-University communication sessions. The Personal Development Management System (PDMS) used for booking training and events within ALD allows researchers to plan their development by viewing training courses against the Researcher Development Framework (RDF) as an aid to selection.
	What we need to do Continue to map development opportunities to the RDF and promote awareness and understanding of the RDF.
	How and when 3.5.1 Researcher Development Coordinator to map Heriot-Watt Crucible to the RDF, in 2015. 3.5.2 Researcher Development Coordinator to map LEADS and PG CAP to the RDF, in 2016, once the revised programmes are established.
6. Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.	What we do already Researchers attend the HWU wide Induction event, which includes an overview of all the development opportunities available to researchers and an introduction to the RDF. The Personal Development Management System (PDMS) used for booking training with ALD includes a training record function. Researcher managers are required to have a PDR discussion with their research team on an annual basis, covering performance, development and career prospects.
	What we need to do Improve the accessibility of information on development opportunities by hosting information on all development options in one online site. Continue to maintain and monitor use of the PDMS interface. Monitor using iHR to ensure these conversations take place.
	How and when 3.6.1 ALD staff trained in use of the University's website design system will provide a 'Current Opportunities' page for the start of 2014/15 academic year, highlighting opportunities that exist both within and external to the University, for example conferences, training, and public engagement. 3.6.2 The Head of ALD will investigate the potential for further updates to the functionality of PDMS. ALD administrative

	staff will continue to monitor the usage of the system, reporting annually in July after the final workshops. See also 3.1.2
7. Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.	What we do already The Research Futures programme of workshops offered to research and academic staff are mapped to the Researcher Development Framework, which outlines the skillset identified as pertinent to researchers. Staff can therefore select workshops based on their RDF 'Domain' or skill required, as the PDMS booking system groups workshops by domain. What we need to do Information and dissemination of the RDF is required at induction and a larger online presence within the ALD website. How and when 3.7.1 The Researcher Development Coordinator will include information regarding the RDF at the PhD induction events annually every October 3.7.2 The ALD presentation at staff inductions throughout the year will include information regarding the RDF. 3.7.3 The Researcher Development Coordinator will investigate and provide greater visibility of the RDF on the University website, prior to the academic year starting September 2015.
8. Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.	What we do already Researchers can attend a "Strategic Career Management" workshop and one-to-one sessions, facilitated by external experts to enable transparent and confidential career discussions. These are provided by the Centre for Academic Leadership & Development's Research Futures programme. What we need to do Maintain and regularly review the Research Futures provision. Improve communication of signposts to support and guidance for researchers. Investigate a mentor programme for researchers. How and when 3.8.1 The Researcher Development Coordinator will maintain and regularly review the Research Futures provision, reporting annually in July to the Head of ALD. 3.8.2 ALD staff will investigate a 'Resources' or 'Links' page on the website or intranet, and if plausible, have it ready for the start of the 15/16 academic year. 3.8.3 The Researcher Development Coordinator, Head of ALD, and OD will have discussion around, and then implement a pilot mentor programme specific to research staff, by May 2016. If successful, this should be rolled out fully by August 2018.

9. Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.	What we do already Researcher managers are required to have a PDR discussion with their research team on an annual basis, covering performance, development and career prospects.
	What we need to do Monitor using iHR to ensure these conversations take place.
	How and when See 3.1.2

Principle 4	The importance of researcher's personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.	
Clause	Evidence and Actions	
1. Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.	What we do already Researcher managers are required to have a PDR discussion with their research team on an annual basis, covering performance, development and career prospects. Researchers are eligible to attend the Career Thinking workshop provided through OD, designed to support all colleagues in managing their career. This is supplemented by the option of 1:1 coaching for participants. Researchers can also attend a Strategic Career Management workshop run by ALD, facilitated by an external expert to enable transparent and confidential career discussions, alongside individual one-to-one sessions offered through the Research Futures programme.	
	What we need to do The new iHR system should be used to monitor PDR completion. Continue to provide career development focussed opportunities.	
	How and when See 3.1.2. 4.1.1 OD should continue to provide career development focussed opportunities for all staff, including researchers, reporting attendance by researchers annually to the RSWG. 4.1.2 ALD should continue to provide career development focussed opportunities for researchers, and review the provision on an annual basis, each July.	
2. Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.	What we do already See Principle 3, Clause 3 for an explanation of the Postgraduate Certificate in Academic Practice qualification offered through ALD. Additionally, the Research Futures programme offer workshops in areas such as writing practice, publishing and winning funding. Research colleagues are eligible to attend the full remit of staff development offered at Heriot-Watt University. A Development Fair is hosted annually alongside the PDR cycle to promote development opportunities to all colleagues and includes the development opportunities from both ALD and OD.	

	What we need to do Improve the accessibility of information on development opportunities on the HW website and intranet.
	How and when 4.2.1 OD staff to provide information on development opportunities on the University's intranet, by the end of the 2014/15 academic year. Also, see 3.6.1.
3. Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.	What we do already ALD provides two routes for staff to gain skills and awareness of current methods of teaching and demonstrating, through PGCAP (2yr qualification undertaken part time whilst working) and LEADS (introductory) programme. Both these programmes were reviewed in 2014 to ensure they maintain and improve the provision of teaching and demonstration training, and where relevant, improve research staff ability to provide research-led teaching.
	What we need to do Continue to provide PGCAP and LEADS provision that is fit for purpose.
	How and when 4.3.1 The Learning & Teaching Coordinators (ALD) responsible for PGCAP and LEADS will continue to provide the programmes, reviewing the new courses after two years, reporting to the ALD Advisory Group.
4. Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.	What we do already All Schools are represented at the HWU wide Employee Engagement forum , with the opportunity to input into a range of staff engagement issues including staff survey, development options, non-remuneration related benefits The Research Staff Working Group (formerly Representatives Group) consists of ALD staff, Deputy Principal (Research and Knowledge Transfer), Director of HR and a research staff representative from each academic School. It meets three times per year to discuss issues and provide two-way communication between University management and research staff.
	What we need to do Maintain the Forum, and improve awareness of it. Ensure RSWG meetings are held regularly.
	How and when 4.4.1 OD need to maintain and publicise the Employee Engagement forum, meeting twice annually, reporting annually to the University Executive. 4.4.2 The Researcher Development Coordinator will ensure that RSWG meetings are held three times a year, with the Chair reporting to each RKEB meeting where appropriate.

5. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	What we do already Heriot Watt participated in the Aurora leadership development initiative in 2013. The University had 24 participants in the programme, the highest number from Scottish HEIs involved in the initiative; two of these were research-only staff. The University supports the programme by selecting the participants and volunteering supporters and speakers. It also set up an in-house mentor programme, providing training to the mentors, as well as matching the mentors to their mentees, along with ongoing support for the mentors. Following discussion with the Research Staff Working Group, a mentoring scheme for researchers is being investigated. What we need to do Review the success of the Aurora programme and investigate continuing support of the initiative or similar. Provide a pilot mentoring scheme for research staff. July 2015 How and when 4.5.1 OD to review the success of the Aurora programme and investigate continuing support of the initiative or similar. Report the findings to Director of Human Resources by December 2014. See also 2.3.1.
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Principle 5	Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.	
Clause	Evidence and Actions	
1. Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	What we do already Advice is given to researchers in formats ranging from open seminars to 1:1s on topics such as opportunities to develop research activity. Individual schemes such as Crucible, Research Futures and Converge are explained against other clauses.	
	What we need to do Use the Research Staff Working Group, CROS and PIRLS to ensure provision is in line with researcher needs.	
	How and when 5.1.1 Researcher Development Coordinator will compile reports based on the bi-annual CROS and PIRLS (upcoming surveys in 2015 and 2017), and use these with the RSWG, to shape future provision through ALD.	
2. Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.	What we do already See Principle 3, clause 3 for a full explanation of Heriot-Watt Crucible , the leadership and development programme for academic researchers at Heriot-Watt University and partner institutions based on the Scottish Crucible programme which we also design and lead nationally.	
	The Enterprising Researcher Summer School run by ALD is a two-month programme aimed at fostering business development and entrepreneurship among researchers, providing workshops on innovation, building and developing teams, budgets, venture finance and technology commercialisation.	
	HW is the founder of Converge Challenge which invites researchers to submit proposals for commercialisation of their research projects. The Challenge provides hands-on mentoring, rigorous training, business support and networking opportunities.	
	Research & Enterprise services (RES) provide opportunity for researchers to interact with research users through utilising funding such as the Impact Acceleration Account, which has provided £1.18m funding across 20 projects up to the close of applications in 2014. The University will receive a second round of IAA funding from EPSRC in 2015.	
	What we need to do Continue to establish and develop strategic research partners outside Heriot-Watt. Continue to provide the Enterprising Researcher Summer School and further develop with RES. Maintain the success of Converge Challenge.	

	How and when 5.2.1 ALD will continue to provide Heriot-Watt Crucible, to support and enhance researcher's ability to exploit knowledge. 5.2.2 ALD will continue to provide the Enterprising Researcher Summer School each year, reporting the successes each July as part of the wider Research Futures programme report. 5.2.3 RES will work with the Converge Challenge advisory group to maintain the success of Converge Challenge, run annually.
3. Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.	What we do already Researchers are required to demonstrate this approach explicitly in the development of their research. All research proposals are reviewed at School level by the School's Ethics Committee. Those decisions are then reviewed by the University's Research Ethics Committee (REC) on a regular basis. The REC will adjudicate on any decisions unable to be made at local level. The University Committee comprises the Deputy Principal (R&KT), representatives from each School and RES, plus non-HWU staff, and reports to the Research & Knowledge Exchange Board at least twice a year. The University's Research Ethics Policy is available online. ALD provides training on data protection and Freedom of Information as part of the PhD Induction training series. This is to be reviewed in 2015 for extension to research staff.
	What we need to do Maintain scrutiny by local and University-wide Research Ethics Committees. Review "Research Integrity" training provision for research staff
	How and when 5.3.1 Both local and University-wide Research Ethics Committee will maintain scrutiny of research projects, reporting at least twice annually to RKEB. 5.3.2 The Researcher Development Coordinator will review the "Research Integrity" training provision for research staff, developing new training provision if required, and presenting a proposal to the Research Ethics Committee in time for inclusion in the 2015/16 academic year.
4. Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.	What we do already Workshops are available through both ALD and OD on career management encouraging staff to consider future career routes in addition to academia. The training available through ALD's Research Futures programme is mapped to the RDF, providing the generic transferable skills recommended within the Framework. Converge Challenge provides researchers with training, mentoring and business planning support (see Clause 2).
	What we need to do Present arrangements to remain unchanged.

	How and when 5.4.1 ALD, OD and RES will all continue to provide a wide variety of opportunities to develop skills beyond research-specific skills. These will be reviewed annually by each department, reporting to the RSWG. The Researcher Development Coordinator will be responsible for prompting and collating annual reviews for the RSWG.
5. Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further their career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.	What we do already When joining the University, researchers are given an Induction, which includes an introduction to ALD and the Research Futures training programme. Publicity of the programme (e.g. via the website, leaflets, news bulletins, social media) aims to reach as many researchers as possible. The PDMS booking website enables researchers to monitor the courses already undertaken, as well as view the details and book onto upcoming courses. The courses are mapped to the RDF and as such researchers can view courses specific to particular areas they wish to develop. Through the annual Performance & Development Review (PDR), line managers and researchers are required to evaluate their training needs and identify opportunities. See Principle 3, Clause 6. What we need to do Provide details of wider development opportunities online for research staff. Monitor effective completion of the PDR process using the new iHR system. How and when See 2.6.2 See also 3.1.2
6. Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities.	See Principle 5, Clause 5 above.

Principle 6	Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.	
Clause	Evidence and actions	
1. The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.	What we do already The University has in place comprehensive action plans underpinning our Equality Outcomes that impact across the University Community. Each action step is mapped against protected characteristics and measured for impact. Our Equality Outcomes cover 2013-17. Our Athena SWAN Bronze Action Plan covers particular activities focusing on the progression of women in STEMM but has wider application across the researcher community. Our action plan covers 2013-2016. The University's Research and Knowledge Exchange Strategy has been mapped with these Equality Outcomes to ensure application of action areas. The University's SFC Outcome Agreement embeds equality and diversity into our activities. Specifically, to increase the diversity of the research base including the proportion of women in professorial positions in SET subjects and work towards increases, where there is under-representation, in staff in various groups.	
	What we need to do 2014 is the first year of implementation for both the Equality Outcomes and Athena SWAN action plans. The SFC Outcome Agreement is annual and the E&D areas highlighted refer to activities underway as part of our E&D specific action plans. As a result we are early on in the implementation of these areas.	
	How and when 6.1.1 E&D Advisor to ensure the implementation of plans, which will be carried out by academic Schools by April 2017 (the end of the Equality Outcomes Action Plan).	
2. As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.	What we do already The University's commitment to equality and diversity is outlined in our Equality and Diversity Policy, our Equality Outcomes and our SFC Outcome Agreement. We are an international University (with campuses in Scotland, Dubai and Malaysia) and take steps to enable cross working at our campuses as outlined in guidance put compiled in 2012.	

	We have a range of policies in place to enable staff to move effectively to the University including provision of removal expenses. Our PDR process is designed to ensure development opportunities are tailored to individuals. What we need to do Present arrangements will remain unchanged. How and when 6.1.1 E&D Advisor to oversee that current policy is maintained.
3. It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.	What we do already Equality and Diversity is embedded at Heriot-Watt through: • E&D Policy • Athena SWAN Action Plan • Equality Outcomes • SFC Outcome Agreement • REF Code of Practice What we need to do Implement the Equality Outcomes and Athena SWAN Action Plans. How and when See 6.1.1
4. Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.	What we do already Schools (and service areas) have the discretion to make local decisions around flexibility in the work place. In addition, the University has a range of policies in place to formally support flexibility in the workplace, such as adoption leave, flexible working, maternity and paternity leave, and parental leave amongst others. These policies are all available to view online on the HR website. Managers should effectively communicate support processes, policies and procedures. Managers should ensure that efforts are made to consider all reasonable requests for flexible working. What we need to do Policies are embedded in the University. If policies change, this will be communicated effectively to managers. How and when 6.4.1 The Director of HR will oversee any policy changes and ensure that they are communicated effectively to staff when required. As policy is updated it will be published on the website, replacing previous policy.

5. It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	See Clause 4 above.
6. Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.	What we do already All University staff are treated equally regardless of funding source. All have access to the same benefits package (redundancy/ redeployment policies, pensions, cycle to work, childcare, holidays, discounts etc.), and there is no differentiation for research staff, whether on open-ended or fixed term contracts.
	What we need to do Present arrangements will remain unchanged.
	How and when See 6.4.1
7. Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	What we do already Recruitment and Selection procedures are very transparent and policies/procedures published on the website. In regard to diversity, on all job adverts (which includes Research Associates and Assistants as well as academic researchers) the following wording is included: <i>"Applications are particularly welcome from women and black and minority ethnic candidates, who are under-represented in academic posts at Heriot-Watt"</i>
	What we need to do Present arrangements will remain unchanged.
	How and when Present arrangements will remain unchanged.

8. Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.	What we do already See Clause 4 above.
	What we need to do Investigate level of support for those for whom English is not a first or bilingual language.
	How and when 6.8.1 The Researcher Development Coordinator, Learning & Teaching Coordinator and E&D Advisor will work together to review current support for those for whom English is not a first or bilingual language. Any proposals stemming from this review will be produced in collaboration with the academic Schools, and prepared for the 2015/16 academic year.
9. All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.	What we do already The University's policy on Harassment and Bullying Grievance Procedure is available online, last updated in 2010 (previously 2004, 2001). The University has designated certain officers who have been trained in dealing with allegations of harassment and bullying, a list of these officers is available online within the document above.
	What we need to do Update and maintain the Harassment and Bullying Grievance Procedure.
	How and when 6.9.1 The E&D Advisor will update and maintain the Harassment and Bullying Grievance Procedure by December 2016, maintaining the same gap to the previous update.
10. Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.	What we do already HWU is a founding member of the Athena SWAN Charter and currently holds a University Bronze Award. Activities outlined in the Athena SWAN Action Plan include progressing Athena at School Level.
	What do we need to do Implement the Athena SWAN Action Plan. All Schools should have in place Athena SWAN plans at School level overseen by a School Self-Assessment Team.
	How and when 6.10.1 The Schools, Athena SWAN Officer and University Self-Assessment Team will implement the Athena SWAN Action Plan fully before 2016 (the end of Athena Bronze Action Plan). 6.10.2 The Athena SWAN Officer and University Self-Assessment Team will support the Schools in achieving School-level Athena SWAN status.

Principle 7	The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.	
Clause	Evidence and Actions	
1. The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.	What we do already By adhering to the Principles of the Concordat, and maintaining the HR Excellence in Research Award, Heriot-Watt University continuously reviews its progress, through staff surveys, representative meetings and collecting continuous feedback on activities.	
	What we need to do Continuous monitoring of feedback and 'closing the loop' on the feedback process by providing summaries of the feedback received.	
	How and when 7.1.1 The Researcher Development Coordinator will be responsible for monitoring Research Futures participant feedback, collating the results of CROS and PIRLS, and ensuring that the feedback process loop is closed.	
2. The signatories agree: a) To constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress.	This clause is beyond the University's responsibilities.	
b) To procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.	This clause is beyond the University's responsibilities.	
c) To contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.	This clause is beyond the University's responsibilities.	

d) To draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).	What we already do Heriot-Watt currently utilises CROS, PIRLS, and the Research Staff Working Group to review and monitor staff opinions.
	What we need to do Present arrangements will remain unchanged.
	How and when 7.2.2 The Researcher Development Coordinator will collate the results of CROS and PIRLS and will report them every two years, within 12 months of the survey date to the RSWG.
e) To undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).	This clause is beyond the University's responsibilities.
3. The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat.	This clause is beyond the University's responsibilities.
4. The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as	What we do already Heriot-Watt University is involved in a number of collaborations with other Scottish Universities, through Research Pools, as well as working alongside them in Scotland-wide networks such as Universities Scotland and ScotHERD (Scottish Higher Education Researcher Developers). These networks typically involve information sharing of best practice. Additionally, Heriot-Watt follows the work of Vitae, and maps the Research Futures programme to the Researcher Development Framework.
	What we need to do Maintain links with Scotland-wide networks.
	How and when 7.4.1 The Researcher Development Coordinator will represent the University at ScotHERD and the Universities Scotland Research Training Sub-Committee, at least three times per year, plus attend the Vitae Researcher Development Conference.

establishing strategic partnerships between funders.	
5. Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.	See Principle 6.