

Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.

Clause	What we do already	What we need to do	How and when	Dept.	Actions	Impact
1. All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	<p>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 global importance. This is evident through the Global Platform Recruitment initiative, targeting the recruitment of leading competitive research at all grades.</p> <p>The reward and promotion processes were relaunched in March 2014. The changes were communicated to staff by digital communications and meetings in academic Schools, led by the Deputy Principal (External Relations) and HR Partners.</p>	Present arrangements will remain unchanged.	1.1.1 HR and HR processes will ensure relevant training is provided, publicised and attended on an ongoing basis.	HR	Global Platform now replaced with Bicentennial Chairs. Reward and promotion information sessions run again in 2017 with additional sessions planned for 2018-19.	In 2017 6 early career researchers achieved promotion. (Move from G6-7 or G7-8)
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.	<p>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.</p> <p>With regards to diversity, on all adverts for academic and research posts at our UK campuses, HW uses the following: "Applications are particularly welcome from women and black and minority ethnic candidates, who are under-represented in academic posts at Heriot-Watt"</p> <p>HW is recognised as a 'Disability Confident Employer' whereby the University has agreed to a number of core actions including (full document available online here): proactively looking to attract and recruit disabled people; providing a fully inclusive and accessible recruitment process; offering an interview to disabled people who meet the minimum criteria for the advertised post; and having flexibility when assessing people so disabled job applicants have the best opportunity to demonstrate that they can do the job. Person specifications should clearly identify essential and desirable skills. Advice is given on how to identify/write these for all recruiting managers.</p>	Ensure present arrangements are adhered to.	<p>1.2.1 HR will continue to provide information online for current and potential staff members in a clear and transparent manner.</p> <p>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.</p>	<p>HR</p> <p>HR</p>	<p>A paper 'Enhancing the Staff Recruitment Experience' submitted to HWU's Professional Services Leadership Board and University Executive in November 2017 following an internal audit of the recruitment processes. Recommendations from paper implemented including an updated Positive Action statement, reducing the number of hiring managers to improve control and consistency, and introducing updated mandatory training for hiring managers. Further review of PDR process undertaken in 2017 in</p> <p>Achieved. All roles have gender neutral wording and a more diverse range of images are used in advertising.</p>	<p>HWU's 2017 CROS results show that an increasing proportion of respondents leant of their current job opportunity through open advertising (46% compared to 2015 fig of 42% and 2017 national ave of 21%).</p> <p>In 2016-17 25% of RA applicants were female. Appointments to RA roles were broadly in line with this split(24%). In 2017-18 27% of applicants wre female with appointments for females at 21%.</p>

			1.2.3 HR will ensure the University maintains its status as a Disability Confident Employer.	HR	Status renewed to October 2019. Positive action statement expanded for all adverts. Now includes flexible working patterns. Link to website. Link to Positive action statement	In 2016-17 2% of RA applicants declared a disability with appointments to RA roles at 18%. In 2017-18 2% of applicants declared a disability with appointments at 5%.
3. Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	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. The iHR system provides a flag to HR and the Schools when a member of staff approaches three years of service, which is then discussed at the Vacancy Management Group (VMG) which meets regularly. Furthermore, iHR can be used to establish the proportion of research staff at Heriot-Watt employed on fixed term or open ended. Following the rollout of iHR, there has been a break in the connection with previous data, delaying the timeline outlined in the previous action plan. The system can only provide data of sufficient quality for approximately the last 12 months. Additional time is needed to collect sufficient data to identify appropriate targets. During 2016, the number of research staff grew by 5%, and the proportion on an open ended contract increased from 24% to 30%.	Continue to utilise iHR to help HR monitor and bring up for review those on fixed-term contracts who qualify for transfer to open ended contracts. Steadily increase the proportion of research staff on open-ended contracts.	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 will continue to monitor those moved from fixed-term to open-ended contracts.	HR / iHR	Number of fixed term and open-ended posts recorded annually. Limitations of iHR make longitudinal tracking difficult but system change now in place to record from Sep 2018. All recruiters aware of process VMG practice well embedded.	The proportion of open ended contracts for early career researchers at HWU has remained steady at 34% of total ECR staff over the past 2 years.
			1.3.2 HR will report annually to UCRI with the numbers of research staff on fixed term and open ended contracts, and the number moved from fixed term to open ended in the last 12 months.	HR	See 1.3.1	See 1.3.1
			1.3.3 HR to use iHR to understand the proportion of research staff on open-ended contracts and the trend in these numbers by Sept 2018. This information will then be used to set an appropriate target for the percentage of research staff on open ended contracts.	HR / iHR	Automation of this process has been difficult but we have - Built the check into the process to run from September 2018 - Trained our recruiting managers fully - Ensured all members of the Vacancy Management group (the final authorising group for all contracts) are fully aware of the policy.	See 1.3.1

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 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	<p>University Ordinances outline the composition of selection panels from an academic perspective. Unconscious Bias training together with online recruitment and selection training, supplemented by interview skills workshops are provided. There are multiple links for interview panel members from iRecruit to the training. Greater information has been placed on the University's intranet for hiring managers [intranet], including how to access this training.</p> <p>Templates for all stages of the recruitment process have been designed by HR and 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.</p>	<p>Ensure that selection panels follow the University Ordinances, and that recruiters are aware of, and using the templates provided.</p> <p>Continue to provide interview feedback if requested. Providing candidate feedback is the responsibility of the panel chair and advice on how to do this effectively is provided in our interview training.</p>	1.4.1 HR will continue to provide online recruitment training, and monitor adherence to policy.	HR	<p>Mandatory training for recruiters introduced from 2018. Online training has unconscious bias module embedded. Selection panel identified early in process and recorded on iHR. Recruitment for all posts managed via iHR and subject to internal audit.</p>	38 recruiters undertaken training to date.
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.	<p>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.</p> <p>Pay structures adhere to the framework agreed as part of New JNCHES, and is standardised across HW in the UK. However pay within each grade is on the basis of role, past performance and experience.</p>	Present arrangements will remain unchanged.	1.5.1 HR will continue to support role evaluation.	HR	<p>Researcher roles are evaluated as part of academic promotions route with roles evaluated against the agreed level descriptors. (NB Must abide by Home Office salary minima when recruiting non EEA nationals.)</p>	See 1.1.1

Principle 2: Researchers are recognised and valued

Clause	What we do already	What we need to do	How and when	Dept.	Actions	Impact
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.	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. The reward and promotion processes were relaunched in March 2014. The changes were communicated to staff by digital communications and meetings in academic Schools, led by the Deputy Principal (External Relations) and HR Partners.	Present arrangements will remain unchanged.	2.1.1 The University will continue to provide the same benefits package to all staff.	REE	Benefits package outlined on R&EE intranet pages	Continued uptake of optional benefits.
			2.1.2 OD and ALD will continue to provide development support for research staff.	OD / ALD	ALD provides a range of courses, workshops and events specifically for Research Staff - e.g. Research Staff Symposia - as part of its annual development provision (as publicised on the ALD website and monthly newsletter). It also supports and advises other Research Staff-led activities - eg Careers Symposium and PostDoc Forum events led by Postdoc representatives. OD encourages Research Staff to attend its staff programme and reports engagement to the University's Staff Committee.	80% of HWU respondents to 2017 CROS survey agree that they are encouraged to engage in personal and career development. While this is slightly less than HWU's 2015 figure of 87% it is higher than the national average (76%). In 2016-17 62 individual researchers engaged with ALD sessions while in 2017-18 this was 63. In 2016-17 7 RA's undertook career development through the OD programme and 4 in 2017-18. (Academic staff participation 2016-17 was 11 and 2017-18 was 3). 34 HWU staff attended the joint Research Staff Symposia in August 2017. In addition, 2 RA's participated in the Aurora Leadership programme in 2017-18. Monthly development and networking events run by the Postdoc Forum consistently attract over 40 attendees. Over the two year period, 215 Supervisors have undertaken Supervisor development to date (August 2018) representing almost half of Academic staff who are potentially PhD Supervisors. Further training sessions are planned for September and the next academic year.
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.	HWU abides by the principles and terms laid down by the 2002 Regulations, which also reflects the JNCHES guidance on use of fixed term contracts.	Present arrangements will remain unchanged.	2.2.1 HR will ensure that the University maintains compliance with Regulations and guidance.	HR	HWU exceeds 2002 regulations. HWU uses 3 years (not 4) as limit to move to open-ended contract. Refer to 1.3.1 and 1.3.2	See 1.3.1

<p>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.</p>	<p>Heriot-Watt has a clear strategy for Research Intensification, and its Performance Development Review [intranet] 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 researcher's career, their aspirations, and what development is required to enable the individual to progress.</p> <p>Principal Investigators (PIs) can access training available to them through the programmes offered through the Centre for Academic Leadership and Development, and Organisational Development. 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.</p> <p>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. In 2015/16, 95 members of academic staff (including research staff, academic staff, and 3 industry-based supervisors) took part in supervisor training.</p> <p>For the Research Excellence Framework (REF), all panellists were trained in equality and diversity, including special circumstances processes, provisions and approach. This appears to have worked well, as there were no complaints or objections to selection.</p> <p>Over the last two years, the Reward and Employee Engagement department have been running workshops on 'Academic Promotions', led by the Deputy Principal (External Relations). These are open to any member of academic staff, including research staff, with the accompanying presentation [intranet] that explains the promotions process at Heriot-Watt available to all staff. During 2015 (most recent data), 55 members of staff from the academic community participated in these workshops, 7 of whom were research staff (13%).</p>	<p>Increase visibility and awareness of the training available to PIs, covering not only the skills needed by PIs towards people management, but also the responsibility of the PI towards the career development of their researchers. Our target is to achieve appropriate training for 80% of our PIs by December 2018.</p>	<p>2.3.1 An Academic Programme Leader in ALD will build and grow the development provision for supervisors, PIs and other research managers in 2016/17 through the new "Academic CPD" programme, and review prior to September 2017.</p>	ALD	<p>Mandatory PDR Reviewer training is in place. Career Thinking and Career Coaching offered. ALD sessions include mandatory supervisor training, Leadership in a research environment, Careers in Academia etc. Participation levels in training have been monitored and review/evaluation of feedback used to inform further development of annual development programmes.</p>	<p>In 2016-17 RA's accounted for 62 of 220 individual academics who engaged with ALD provision. In 2017-18 63 RA's engaged out of 232 individual academics. Feedback is generally high with most courses above 4.4 average satisfaction out of 5.</p>
			<p>2.3.2 The Academic Programme Leader in ALD will explore the data on doctoral supervisors during 2016/17, and where possible, report to Research Student Coordinators Group the number of supervisors taking part in ALD training annually. Our target is to achieve appropriate training for 90% of our doctoral supervisors by September 2018.</p>	ALD/OD	<p>Participation of individual supervisors in compulsory Supervisor training is being monitored via HR and ALD record systems, and reported via ALD engagement reports. 47% of doctoral supervisors have undertaken training by August 2018 with more sessions planned in September 2018 to meet percentage participating in training by February 2019. See 2.3.1</p>	<p>These sessions are open to current or aspiring supervisors. 40 RA's also participated in these training sessions during 2017/18 to upskill in preparation for future career progression.</p>
			<p>2.3.3 The Director of Human Resources Development (HRD) will be responsible for communicating to all staff before the Personal Development Review period annually, regarding the training opportunities available across the University to assist with personal and professional development.</p>	HRD	<p>Achieved via email in January 2017 and 2018 in advance of PDR period. Supplemented with a Development Fair in January 2018. Monthly e-newsletters produced by ALD and OD to publicise development provision. Regular reminders sent to Research Staff (eg latest in May 2018) to encourage their participation.</p>	<p>2017 169 (89%) PDRs undertaken by research staff, and 130 (62%) to date in 2018. Anecdotal feedback from Postdoc consultation session in June 2018 suggests that focus of PDR discussion has focused more on development.</p>

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 make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.	HW has a centralised process for appointments, and managing redeployment (Vacancy Management Group). 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.	Present arrangements will remain unchanged.	2.4.1 The VMG shall continue to provide a centralised process for appointments via iRecruit.	HRD	Redeployment register maintained centrally. Updated redeployment policy. Number of recruiting managers reduced from 410 in 2016-17. Currently 60 and anticipated to be c 150 by end of 2018. Reducing numbers will help maintain adherence to process.	Feedback from Postdoc consultation session held in June 2018 is that awareness of opportunities has improved and information on redeployment opportunities is readily available within Schools and from HR.
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.	HWU has agreed promotion procedures for all staff (including research staff). This is published on the web and a Deputy Principal carried out a series of presentations for all academic staff detailing the procedures after they were reviewed in 2015. 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.	Ensure that communication of progression procedures and policy to staff is effective. Monitor the numbers of research staff applying for promotion, and their success rates.	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, including maintaining the 'HR Policies' webpage.	HR	Link to email outlining process	See 1.1.1
			2.5.2 HR will collect and analyse data regarding academic promotions of research staff, reporting annually to RSWG.	HR	Reporting is to University Executive and via Athena SWAN reports.	See 1.1.1
			2.5.3 Academic Programme Leader and OD team to work together to improve online information for PDR reviewers of research staff by June 2017. Allowing time for these improvements to take hold in time for the 2018 PDR period (Jan-Mar) we will subsequently use CROS 2019 to assess the impact of these on the quality of researchers' PDR experience.	OD / ALD	Improved online information has been put in place for PDR reviewers including PIs.	Measure in 2019 CROS.
6. Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression.	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 [intranet] which is held at least annually. In addition to the training offered through Research Futures (Centre for Academic Leadership and 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 and	Career pathways/ opportunities should continue to be communicated in a variety of ways. Ensure that discussions around career planning are embedded in the PDR process. Monitor the numbers of research staff applying for progression, and	2.6.1 OD continue to provide training for PDR Reviewers, which will include a section on career development.	OD	Mandatory PDR Reviewer training in place from 2018. refresher training every 3 years.	

	Challenge and the Fellowship College (offered through Research and Enterprise Services), career management training and Heriot-Watt Crucible (offered through ALD).	start applying for promotion, and their success rates.	2.6.2 OD will develop additional bitesize sessions during 2016/17 on career development with respect to promotion and regrading, and the number of research staff attending will be reported annually to RSWG via the Researcher Development Coordinator.	OD	OD and ALD delivered a range of career related development opportunities over the period. Career development workshops, Careers within Academia, Careers outside Academia, Careers symposium.	In 2016-17 7 RA's undertook career development through the OD programme and 4 in 2017-18. (Academic staff participation 2016-17 was 11 and 2017-18 was 3). In addition, 2 RA's participated in the Aurora Leadership programme in 217-18. 34 HWU staff attended the joint Research Staff Symposia in August 2017 (with overall Excellent feedback on 5 point Likert scale). 5 RA's attended the Careers Beyond Academia session and 3 participated in the Careers within Academia in May 2017.
			2.6.3 A new workshop for research staff entitled "Getting the most from your PDR" is to be trialled in 2016/17 by ALD. The workshop aims to support researchers in ensuring their career development gets appropriate focus during the PDR process and especially in the discussions with line managers and reviewers. The number attending and levels of satisfaction will be reported to RSF via the Researcher Development Coordinator, and if successful will continue to run, with a target of 70% participation (of research staff) by September 2019.	ALD	The ALD workshop provision for research staff will be reviewed by newly appointed Researcher Development coordinator, with expectation that enhanced training opportunities around career development will be offered in 2018-19.	11 RA's attended the session with a high satisfaction level (overall average of Good on 5 point Likert scale)
			2.6.4 HR will collect and analyse data regarding academic promotions of research staff, reporting annually to RSWG.	HR	See 1.3.1	

Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.

Clause	What we do already	What we need to do	How and when	Dept.	Actions	Impact
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.	All members of staff of Heriot-Watt University, regardless of contract type, are entitled to a number of benefits, including professional development support. The career development support is primarily coordinated through Organisational Development (OD) and the Centre for Academic Leadership and Development (ALD). The opportunities and benefits offered are mentioned throughout this review. Researcher managers are required to have a PDR discussion [intranet] with members of their research team on an annual basis, covering performance, development and career prospects. In 2016, 145 members of research staff (of 258) were recorded as having a PDR meeting (56%).	Continue to provide up-to-date online content with signposting to relevant development opportunities. Promote the use of iHR to record PDR meetings take place, and continue to provide feedback to University Executive on PDR rates of completion.	3.1.1 ALD should review the use of the External Opportunities webpage in autumn 2016, after two full years of usage, using Google Analytics, for which the University has a license. This should include the unique views broken down by semester 1, semester 2, and the summer period.	ALD	ALD have expanded the way we engage with researchers to include monthly e-newsletters and social media eg Twitter. Monthly e-newsletters are produced and distributed to ALD networks. External opportunities are now included in each edition including information from the PostDoc forum and other Universities/partners.	ALD webpage analytics 2016-17 Sem 1 68 views (35 unique) Sem 2 201 (175 unique) Summer 88 (77 unique). 2017-18 Sem 1 106 (93 unique) Sem 2 157 (132 unique) Summer 78 (69 unique).
			3.1.2 The number of meetings occurring during semester 2 will be monitored by HR (using iHR). Completion rates will be reported to the University Executive monthly during the PDR period. The expectation is that 90% of research staff will be engaging in PDR by the 2019 PDR period (Jan-March 2019).	OD	2017 169 (89%) PDRs undertaken by research staff, and 130 (62%) to date in 2018.	
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	The Institution offers a Career Thinking [intranet] 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. 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. For the last three years, teams of researchers have gone on from the Summer School to enter Environment YES, a NERC-funded business plan competition	ALD need to provide workshops for research staff on career management. ALD should continue to provide the Enterprising Researcher Summer School.	3.2.1 OD will continue to provide Career Thinking workshops, reviewing the provision on an annual basis, reporting annually to Staff committee the number of research staff attending.	OD	2016-17 7 researchers participated. 2017-18 3 researchers participated. Career coaching also offered. 1 researcher requested career coaching in 2016-18.	

<p>researcher careers and that all career paths are valued equally.</p>	<p>business plan competition.</p>		<p>3.2.2 ALD will implement two new workshops in 2016/17 on 'Careers Beyond Academia' and Careers within Academia' as part of the wider Research Futures programme, with a target of 50% of our research staff attending across the two sessions, by academic year 2019/20 (which starts September 2019).</p>	<p>ALD</p>	<p>Two new careers-focussed workshops have been added to the ALD programme for Research Staff, and participation levels are being monitored. In addition, other careers-focussed events have been introduced/undertaken - eg. Research Staff Careers Symposium for Engineers held in Nov 2017 at the Royal Society of Edinburgh (link to news item).</p>	<p>Over 50 Postdocs and PhD Students attended the Research Staff Careers event. 5 RA's attended the Careers Beyond Academia session and 3 participated in the Careers within Academia in May 2017. Further discussion is now underway to develop more career-development support for Postdocs around 'Engaging with Business'.</p>
			<p>3.2.3 ALD will continue to facilitate engagement in KE and commercialisation activities, providing the Enterprising Researcher Summer School each year, reporting the successes each summer as part of the wider Research Futures programme report.</p>	<p>ALD</p>	<p>The ALD Enterprising Researcher Summer School ran successfully in 2016 and 2017. A new Enterprise Team has been established at HWU to enhance further engagement in enterprise by staff and students and responsibility for the Summer School has moved to this team. Link to web pages</p>	<p>ECRs accounted for 13% of participants on the 2017-18 programme.</p>

<p>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.</p>	<p>The Centre for Academic Leadership and 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:</p> <p>1. Academic leadership e.g. Heriot-Watt Crucible, Scottish Crucible</p> <p>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 have previously been nominated by Heads of School (an application process will be used in the future). Heriot-Watt Crucible aims to help participants develop skills, knowledge and connections to enhance their innovative research capacity and impact through interdisciplinary collaborations and KE. 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.</p> <p>2. Teaching enhancement e.g. PG CAP and LEADS</p> <p>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.</p> <p>b) LEADS, or Learning Enhancement and Development Skills, is the programme for research students who aspire to achieve University Teacher status and is designed to contribute to the first stage of an academic career. The Programme is accredited by the (UK) Higher Education Academy. Successful completion of the Programme qualifies students as Associate Fellows of the Higher Education Academy (AFHEA). The newly accredited LEADS programme aligns with the UK Professional Standards Framework for Higher Education and the University's Learning and Teaching Strategy. The Programme runs over 10 sessions to achieve Heriot-Watt University Teacher Status, with Tutor and Marker Status obtained at the end of Session 8.</p> <p>3. Researcher skills and career development e.g. Research Futures</p> <p>a) The Research Futures workshop programme provides a wide range of skills courses throughout each year for research staff. In the past two years, 37% of academic staff participation has been research only staff (94 individuals engaged with the programme in 2015/16). These courses are mapped to the Researcher Development Framework, and include skills such as project management, supervision, academic writing, knowledge exchange and leadership.</p> <p>4. Knowledge Exchange and Public Engagement e.g. HW Engage, KE Scotland Conference, HW Exchange events</p> <p>a) HW Engage promotes, stimulates and supports public engagement</p>	<p>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.</p>	<p>3.3.1 Heriot-Watt Crucible will be reviewed in 2016/17 by the Head of ALD, including the process of selection.</p>	<p>ALD</p>	<p>Following a University wide consultancy exercise in 2015-16 by the Head of ALD, the HW Crucible model has been adapted and used to design other bespoke events for the research community aimed at stimulating academic networking and collaboration - e.g. Exchange Events and Research Connect Events which involved a range of external collaborators and experts. Selection has moved from nomination to self-application and a wider range of academic seniority (RAs - PIs - Institute Leaders etc). JK to insert nos for each event.</p>	<p>Examples of Research Connect/Exchange events: HWU-Scottish National Blood Transfusion Service. April 2017. 27 attendees including 7 RA's. Lyell Centre Research Connect Event. January 2018. 70 attendees including 10 RA's.</p>
			<p>3.3.2 The Researcher Development Coordinator will review the Research Futures programme every summer, looking at participation and feedback from the programme, as well as updates in Researcher Development nationally.</p>	<p>ALD</p>	<p>The Research Futures workshop programme has been reviewed annually each summer as part of standard monitoring and evaluation processes; and the outcomes used to inform further planning of the programme in response to feedback and national developments in the researcher development agenda. New innovations include sessions on Communication and Writing Skills with US-based Jorge Cham (PHD Comics) and sessions on Increasing your Research Impact. During 2017-18 121 RA's engaged with Public Engagement activities. (Total 787 participants).</p>	<p>17 RA's attended PhD Comics sessions and 10 RA's attended the Increasing your Research Impact session.</p>

	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. In the last two years, HW Engage have supported and enabled researchers to exhibit at the Royal Society Summer Exhibition, present at the Edinburgh Fringe, take part in the multiple science festivals, and apply for and win awards and funding to undertake public engagement projects (e.g. the Heriot-Watt Principal's Public Engagement Prize). In 2015, HW Engage organised the Scottish Closing Ceremony of the International Year of Light "IllumiNations", coordinating research projects and the ceremony itself which included guest lectures, a science festival and a light show on the Edinburgh campus. Participation in all ALD workshops and courses is reported annually through an "ALD Engagement Report", circulated to senior colleagues (e.g. Heads of School) and discussed at the ALD Advisory Group.		3.3.3 The Head of ALD shall ensure that reviews of each strand of the department are carried out annually each summer in line with budget reviews and reported to the ALD Advisory Group.	ALD	Annual internal reviews were supplemented by institution-wide reviews of Resources, PGR Lifecycle and departmental structures. Review of ALD resulted in a structural change during 2017, with responsibility for Learning and Teaching support moving to Information Services (where a new L&T Academy will be formed in 2018). A new ALD Advisory Group is being convened for Spring 2018.	Increased focus on Researcher Development activities and improved links with Early Career Researcher Community. MMV attendance at last two RSF meetings and invitation to RA's to contribute to consultation process via HWI side Blog and working groups, especially Supporting Our People Strand of the new Research Strategy for HWU.
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.	The Institution offers a Career Thinking [intranet] 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. Staff are supported in undertaking industry placements or secondments through funded schemes such as the EPSRC Impact Acceleration Account.	Continue to review and provide workshops to support researchers in considering their career management. Continue to support staff in actively seeking placements and secondments. Review participation of research staff on the OD provision around career planning and 1:1 coaching.	3.4.1 RES continue to provide support to staff seeking placements and secondments, keeping a record of opportunities undertaken, reporting annually to RKEB.	RES	RES provide advice to individual requests although this is not monitored. HWU's approach to secondments is now included in the Global Secondment Policy which came into effect in 2018.	Monitor in 2018-20 action plan
			3.4.2 OD to increase research staff uptake on career planning workshops and 1:1 coaching, to bring it in line with the proportion of academic staff taking these opportunities by Sept 2018. See also 3.2.	OD	See 3.2	
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	Contracts, role descriptors, promotion processes and PDR expectations [intranet] are 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	Continue to map development opportunities to the RDF and promote awareness and understanding of the RDF.	3.5.1 Researcher Development Coordinator to publish the Research Futures workshops to RDF sub-domains on the ALD website in 2016/17.	ALD	The Research Futures workshops have been mapped against the RDF and published on the ALD website in 2016/17 and 17/18.	From CROS 2017 % of respondents who are not aware of RDF has decreased slightly from 56% to 49%. (National ave 49%)

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.	(RDF).		3.5.2 Researcher Development Coordinator to map all ALD programmes against the RDF.	ALD	Additional and new ALD activities will be mapped against the RDF in 2017/18. Courses are organised on PDMS under the correct domain of the RDF.	See 3.5.1
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.	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. The dates of these PDR meetings are recorded in iHR by the reviewer.	Continue to maintain and monitor use of the PDMS interface. Monitor PDR meetings take place using iHR, encourage greater logging of PDR meetings in iHR.	3.6.1 ALD administrative staff will continue to monitor the usage of the system, reporting engagement statistics (including gender where available) annually in July after the final workshops.	ALD	Participation in all ALD courses and events has been monitored via the PDMS booking system. Engagement data has been collated and reported to ALD Advisory Group and Schools via annual reports on ALD activity.	In 2016-17 223 RA's accounted for 223 attendances in ALD sessions. (33% female and 67% male). In 2017-18 RA's accounted for 108 attendances. (30% female, 70% male). NB A number of programmes that were part of ALD in 2016-17 are reported under different areas for 2017-18).
			3.6.2 HR to promote use of iHR to record when PDR meetings take place, reporting completion rates to University Executive throughout the PDR period each year. The expectation is that 90% of research staff will be engaging in PDR by May 2019.	OD	See 3.1.2	
			3.6.3 HRD will compare the level of PDR meetings recorded as having taken place in iHR against the number of research staff reporting PDR has been completed via the staff survey and CROS during the CROS analysis in 2017.	OD / ALD	From HWU's 2017 CROS results, 77% of respondents indicated that they had undertaken a PDR during the past year.	While this is down on 2015 results (82%) it is still above the national average of 72%. The lower uptake also reflects the trend recorded in iHR for wider HWU staff.
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	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. The Research Futures webpages (staff and student) were updated in spring 2016. to not only include the RDF but also to display more information on	Information and dissemination of the RDF is required at induction and a larger online presence within the ALD website.	3.7.1 Researcher Development Coordinator to publish additional information on the RDF, including lenses and how the workshops map to the sub-domains of the RDF on the ALD website for 2016/17.	ALD	Courses on PDMS are mapped onto the correct domain of the RDF.	See 3.5.1

opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.	the workshop programme and how workshops fit into the domains of the RDF.		3.7.2 The ALD presentation at staff inductions throughout the year will include information regarding the RDF. A uniform set of information given is desired and will be explored during 2016/17.	ALD	ALD has contributed presentations and information materials to the University's staff inductions, which include standard information about the RDF from Vitae.	See 3.5.1
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.	The Institution offers a Career Thinking [intranet] 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. There is also the wide variety of development activities provided by the Centre for Academic Leadership and Development's Research Futures programme. There is a pilot mentoring programme currently being run in the School of Engineering and Physical Sciences for research staff. If successful, this could be rolled out across the University.	Continue offering career focussed development provision and coaching. Maintain and regularly review the Research Futures provision. Provide adequate information online to signpost researchers to the support and advice available both on and off-campus. Review the EPS pilot mentor programme and investigate a University-wide programme.	3.8.1 OD to maintain Career Thinking workshop (or similar) and coaching provision, on an ongoing basis. 3.8.2 The Researcher Development Coordinator will maintain and regularly review the Research Futures provision, reporting annually in July to the Head of ALD.	OD	in 2016-17 7 RA's attended the Career Thinking workshop and in 2017-18 3 attended with 1 request for Career coaching.	
			3.8.3 ALD staff will implement a 'Resources' or 'Links' page on the website or intranet during 2016/17.	ALD	Research Futures provision has been regularly reviewed and enhanced to encompass further development opportunities.	See 3.3.2 for RA uptake of opportunities.
			3.8.4 The success of the EPS pilot mentoring programme will be explored through an evaluation of the Mentor and Mentee experiences during the pilot along with the reflections of the pilot coordinator. This will identify the elements that worked well, those that did not work so well and help identify possible improvements to the programme. The outcomes of the evaluation will feed into discussions around extending this programme to other Schools. The evaluation will be led by an academic programme leader based in ALD. Evaluation complete by Oct 2017, discussions regarding rolling out to other schools complete by March 2018.	ALD	Done. External Opportunities section included in ALD monthly e-newsletters and on ALD website.	296 views - 246 unique views - during 2017-18
				ALD	Surveying of our postdoctoral community found a strong desire for mentoring amongst early career researchers. A scheme was piloted as part of our Athena SWAN Action Plan that paired trained academic mentors with ECR colleagues. This scheme was evaluated and found to be well received and successful in highlighting career options for our Postdocs; as such the pilot was continued and remains a feature of the support we offer early career researchers.	Scheme now in place for all ECRs in EPS

<p>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.</p>	<p>Researcher managers are required to have a PDR discussion [intranet] with</p>	<p>Monitor using iHR to ensure these meetings take place.</p>	<p>See 3.1.2, 3.6.2 and 3.6.3.</p>	<p>OD</p>	<p>See reponses to references</p>	
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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	What we do already	What we need to do	How and when	Dept.	Actions	Impact
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.	<p>Research managers are required to have a PDR discussion [intranet] with members of their research team on an annual basis, covering performance, development and career prospects.</p> <p>Researchers are eligible to attend the Career Thinking [intranet] 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.</p>	<p>Use the iHR system to monitor PDR completion.</p> <p>Continue to provide career development focussed opportunities including coaching</p>	See 3.1.2, 3.6.2, 3.6.3 and 3.8.	iHR		
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.	<p>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.</p> <p>Research staff are eligible to attend the full remit of staff development offered at Heriot-Watt University.</p> <p>ALD provide an 'External Opportunities' webpage, which promotes conferences, events, outreach opportunities, funding opportunities and professional development from other organisations. This is updated usually fortnightly.</p> <p>Organisational Development updated their intranet site in 2015, providing a wide array of materials and guidance.</p>	<p>Maintain the PGCAP and Research Futures provision.</p> <p>Maintain the External Opportunities webpage, and provide additional signposting to other organisations that provide support for academic practice.</p>	4.2.1 ALD to maintain the PGCAP and Research Futures provision.	ALD	Both Research Futures and PGCAP have continued to delivered as standard parts of development provision. and made ongoing. Responsibility for PGCAP programme has moved to Academic and Learner Services team within Information Services in 2017/18.	In 2016-17 12 RA's participated in the PG CAP programme. In 2017-18 11 RA's participated. For the LEADS programme in 2016-17 7RA's participated and in 2017-18 9 RA's participated.
			4.2.2 ALD to maintain the External Opportunities webpage, and implement the 'Resources' page that is currently in the planning stages, in 2016/17.	ALD	External Opportunities and Resources opportunities have been added to the ALD website. External opportunities section added to ALD monthly e-newsletter.	See 3.8.3

			4.2.3 The Academic Programme Leader to add a question to the 2017 and 2019 CROS, regarding use of the External Opportunities and Resources webpages.	ALD	Question included in CROS 2017	HWU's 2017 CROS response indicates only 23.6% of respondents were aware of the page. Now included in monthly e-newsletters and social media.
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.	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.	Continue to provide PGCAP and LEADS provision that is fit for purpose.	4.3.1 The Academic Programme Leaders (ALD) responsible for PGCAP and LEADS will continue to provide the programmes, reviewing the courses as needed, reporting to the ALD Advisory Group. See also 3.3.	ALD	PGCAP and LEADS have continued to be delivered, reviewed and enhanced. Responsibility for PGCAP and LEADS programmes moved to Academic and Learner Services team within IS directorate in 2017/18.	See 4.2.1 for uptake
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.	In February 2016, the Employee Engagement Forum (covering staff engagement issues including staff survey, development options and non-remuneration related benefits) was expanded and refreshed, to the 'Global Employee Experience Forum' (GEEF), which has now met once. This is to ensure a more inclusive vehicle across our multiple campuses. It now falls under the remit of the "Reward and Employee Engagement" (REE) team within HRD. The Research Staff Working Group consists of ALD staff, Deputy Principal (Research and Innovation), Director of HRD 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.	Encourage wider representation to cover all campuses and a wider range of roles with the GEEF. Agree the priorities for the GEEF, and improve awareness of it. Ensure RSWG meetings are held regularly and are representative of the researcher population. Ensure that there is a research staff representative on all appropriate School and Research Institute committees.	4.4.1 REE need to publicise the Global Employee Experience Forum to encourage wider representation.	REE	Done. Representation from international campuses.	Minutes and actions reported to UCRI and PSLB.
			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.	ALD	Now RSF. The Terms of Reference of the RSF (renamed as Research Staff Forum) have been reviewed and a new Chair appointed (Director of Human Resource Development) in 2017/18. The group has continued to meet 2-3 times per year.	See 4.4.1
			4.4.3 The Researcher Development Coordinator will review membership of the RSWG annually to ensure it reflects the research staff population.	ALD	The membership of the Research Staff Forum has been reviewed and further representation secured - e.g. Deputy Principal (Research and Innovation) additional Research Staff Reps, and Assistant Deputy Principal for Research.	Representation across all Schools. Meetings held 3 times per year.

				Schools	Research staff representation is in place in all Schools either at School or Institute level.	Monitored via UCRI
5. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	<p>The University has participated in the Aurora leadership development initiative since 2013. Participation in the programme was reviewed in 2014 by OD, reporting to the Director of HRD, and it was decided to continue participating, expanding to be open to staff on the Dubai campus. Since 2014, three of Heriot-Watt's 74 participants have been 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.</p> <p>A pilot programme of research staff mentoring is underway in the School of Engineering and Physical Sciences, due for review during 2016/17, with a view to rolling it out University-wide.</p>	Maintain access to the Aurora initiative. Consider rolling out a University-wide mentor programme for research staff.	4.5.1 OD to maintain access to the Aurora programme, reporting numbers of research staff attended annually to RSWG. See also 3.8.4.	OD	See 3.8.4	

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	What we do already	What we need to do	How and when	Dept.	Actions	Impact
1. Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	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.	Use the Research Staff Working Group, CROS and PIRLS to ensure provision is in line with researcher needs.	5.1.1 CROS and PIRLS will continue to be run and analysed by an Academic Programme Leader in ALD.	ALD	Analysis undertaken and reports produced and circulated.	Results used to inform the 'Supporting our People' Strand of HWU's Research Strategy which is currently being developed.
			5.1.2 The Researcher Development Coordinator will use RSF and participant feedback to ensure Research Futures is relevant for, and builds capacity in, researchers.	ALD	The Research Development Coordinator has continued to engage with, and respond to, Research Staff requirements via feedback from participants and discussion at Research Staff Forum. One result of this engagement is that ALD provided financial support to the newly formed HWU Postdoc Forum to facilitate a programme of monthly development and networking events.	Increasing engagement with Postdoc community during 2017-18 which has benefit of providing formal communication and development opportunities and informal networking. Over 40 attendees at most monthly networking sessions run by Postdoc Forum.

<p>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.</p>	<p>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.</p> <p>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. For the last three years, teams of researchers have gone on from the Summer School to enter Environment YES, a NERC-funded business plan competition.</p> <p>Heriot-Watt 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. Since 2014, 51 companies have been set up (up to Aug 2016), of which six are from Heriot-Watt.</p> <p>HW Engage 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. In the last two years, HW Engage have facilitated and enabled researchers to engage with the public (e.g. by exhibiting at the Royal Society Summer Exhibition, presenting at the Edinburgh Fringe) and policy makers (engaging with the Scottish Parliament).</p>	<p>Continue to establish and develop strategic research partners outside Heriot-Watt. Continue to provide the Enterprising Researcher Summer School and further develop with RES.</p> <p>Maintain the success of Converge Challenge. Continue to provide support and facilitation for public and policy engagement through HW Engage.</p>	<p>5.2.1 ALD will provide Heriot-Watt Crucible subject to demand and consultation, to support and enhance researcher's ability to exploit knowledge.</p>	ALD	<p>Following a University wide consultation exercise by the Head of ALD, one of the outcomes was to adapt the Heriot-Watt Crucible model to run more specific, bespoke events aimed at fostering academic networking and collaboration. Research Staff have also been encouraged to apply for a place on Scottish Crucible (also run by ALD on a national basis).</p>	See 2.6.2
			<p>5.2.2 RES will work with the Converge Challenge advisory group to maintain the success of Converge Challenge, run annually, reporting Heriot-Watt researcher participation to RSWG via the Researcher Development Coordinator.</p>	RES	<p>Programme run annually.</p>	4 RA's participated in this programmes during 2016-18
			<p>5.2.3 ALD will continue to support and facilitate public and policy engagement through HW Engage. See also 3.2.3.</p>	ALD	<p>ALD has continued to encourage research staff to engage with and learn more about public and policy engagement through the University's public engagement team - HW Engage, as well as wider PE opportunities facilitated in Edinburgh by Beltane. PE team now moved to RES and service aligned more closely with wider research support activities.</p>	See 2.6.2

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.	<p>Researchers are required to demonstrate this approach explicitly in the development of their research.</p> <p>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). The REC will adjudicate on any decisions unable to be made at local level. The University Committee comprises the Deputy Principal (Research and Innovation), representatives from each School and RES, plus non-HWU staff, and reports to the Research and Knowledge Exchange Board.</p> <p>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 2016/17 for extension to research staff. A Data Management Working Group was created in 2015 to review the University's policy and practice around data management, and data management plans. A round of face-to-face training was provided across academic schools and professional services in these new policies and practice. Online training is under investigation, and a new suite of webpages has been put in place.</p>	Maintain scrutiny by local and University-wide Research Ethics Committees. Review "Research Integrity" training provision for research staff.	5.3.1 Both local and University-wide Research Ethics Committee will maintain scrutiny of research projects, reporting at least twice annually to UCRI.	HW	This is established. Ethics procedures submitted to UCRI for review in August 2018.	Monitor via UCRI minutes
			5.3.2 The Researcher Development Coordinator will review the "Research Integrity" training provision for research staff, developing new training provision if required, presenting a proposal to the Research Ethics Committee in time for inclusion in the 2017/18 academic year (September 2017).	ALD	This has been on hold following the ALD review and will be put in place for the new action plan. University Research Ethics Committee's research ethics procedures to be reviewed.	Move to 2018-20
			5.3.3 The Data Management Working Group will run further face-to-face training and investigate online training on Data Management for academic and research staff and students during the 2016/17 and 2017/18 academic years. A review of the current provision was undertaken and considered by UCRI.	HW	Options for future training to be considered by HWU's Head of IS and the OD team.	Move to 2018-20
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.	<p>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.</p> <p>Converge Challenge provides researchers with training, mentoring and business planning support (see Clause 2).</p>	Present arrangements to remain unchanged.	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 RSF and Staff Committee. The Researcher Development Coordinator will be responsible for prompting and collating annual reviews for the RSF.	ALD / OD / RES	Programmes reviewed annually with programme information made available on HWU Intranet and websites. Information also provided to RSF and Staff Committee	Reported to UCRI and PSLB

<p>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.</p>	<p>When joining the University, researchers are given an Induction, which includes an introduction to ALD and the Research Futures training programme. There is extensive publicity for the Research Futures programme (e.g. via the website, leaflets, news bulletins, social media). 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.</p> <p>Through the annual Performance and Development Review (PDR), line managers and researchers are required to evaluate their training needs and identify opportunities. See Principle 3, Clause 6.</p>	<p>Provide details of wider development opportunities online for research staff. Monitor effective completion of the PDR process using the new iHR system.</p>	<p>See 2.6.2 See also 3.1.2 Researchers have been encouraged to take up the training and development opportunities available to them - e.g. by information provided at HWU Induction and PhD Supervisor events; through publicity circulated by ALD and OD; and through encouragement from their line managers in the Schools (eg via PDR and career discussions).</p>		<p>See 2.6.2 and 3.1.2</p>	
<p>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.</p>	<p>See Principle 5, Clause 5 above.</p>					

Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

Clause	What we do already	What we need to do	How and when	Dept.	Actions	Impact
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.	<p>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.</p> <p>Our Athena SWAN Bronze Action Plan (pages 50-61) 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 and is due for renewal in November 2016.</p> <p>The University's Research and Knowledge Exchange Strategy has been mapped with these Equality Outcomes to ensure application of action areas.</p> <p>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.</p>	<p>Successfully renew the Athena SWAN Bronze Award at University level.</p> <p>The SFC Outcome Agreement is annual and the Equality and Diversity areas highlighted refer to activities underway as part of our Equality and Diversity specific action plans.</p> <p>As a result we are early on in the implementation of these areas.</p>	6.1.1 Equality and Diversity Advisor to review and publish new Equality Outcomes by April 2017.	REE	Achieved. New report covering 2017-21. Report available on HWU E&D web pages. Mid-point report due 2019.	From HWU's CROS 2017 results 81% of respondents agree that HWU is committed to E&D
			6.1.2 Athena SWAN Project Officer to ensure the University retains the University-level Bronze Award in November 2016.	AS	Achieved. Information available on HWU Athena SWAN web pages. Action plan and achievements also on web pages.	Follow up surveys being run in Aug/Sep 2018. Results will be analysed by various characteristics including gender and role type. Results will feed into further action plans at University and local level.

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.	<p>The University's commitment to equality and diversity is outlined in our Equality and Diversity Policy, our Equality Outcomes and our SFC Outcome Agreement.</p> <p>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 [intranet] 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.</p> <p>Our PDR process is designed to ensure development opportunities are tailored to individuals.</p>	Present arrangements will remain unchanged.	6.2.1 Equality and Diversity Advisor to oversee that current policy is maintained.	REE	All policies up to date and available on HWU's HR and E&D web pages. https://www.hw.ac.uk/services/human-resources/human-resources-policies.htm	
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.	<p>Equality and Diversity is embedded at Heriot-Watt through:</p> <ul style="list-style-type: none"> • Equality and Diversity Policy • Athena SWAN Action Plan • Equality Outcomes • SFC Outcome Agreement • REF Code of Practice 	Implement the Equality Outcomes and Athena SWAN Action Plans.	See 6.1.1 https://www.hw.ac.uk/services/equality-diversity/equality-initiatives.htm	REE		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,	<p>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 new HR website created in 2016.</p> <p>Managers should effectively communicate support processes, policies and procedures.</p> <p>Managers should ensure that efforts are made to consider all reasonable requests for flexible working.</p>	Policies are embedded in the University. If policies change, this will be communicated effectively to managers.	6.4.1 The Director of HRD 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.	HRD	See 6.2.1	
5. It is important for employers to respond flexibly to requests for	See Clause 4 above.			HRD		
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.	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.	Present arrangements will remain unchanged.	See 6.4.1	HRD		

<p>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.</p>	<p>Recruitment and Selection procedures are very transparent and policies/procedures are published on the website.</p> <p>On all job adverts (which includes Research Associates and Assistants as well as academic researchers) the following wording is included: "Applications are particularly welcome from women and black and minority ethnic candidates, who are under-represented in academic posts at Heriot-Watt"</p>	<p>Present arrangements will remain unchanged.</p>	<p>Present arrangements will remain unchanged.</p>	<p>HRD</p>	<p>Done</p>	
<p>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.</p>	<p>See Clause 4 above.</p>	<p>Investigate level of support for those for whom English is not a first or bilingual language.</p>	<p>6.8.1 The Researcher Development Coordinator, Academic Programme Leaders and Equality and Diversity 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, following the University's review of academic development in 2016, and prepared for the 2017/18 academic year (which starts September 2017). Statement included in workshop registration asking individual to identify any individual needs.</p>	<p>ALD / REE</p>	<p>This has been on hold following the review of ALD. ALD's review of provision will ensure that our activities support the range of needs of our diverse research community and use EPIAs to ensure this is fully considered.</p>	

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.	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.	Update and maintain the Harassment and Bullying Grievance Procedure.	6.9.1 HR will update and maintain the Harassment and Bullying Grievance Procedure by December 2016, maintaining the same gap to the previous update.	HR	The University's Policy on Harassment and Bullying is available online and has been used to investigate and act when allegations of harassment and/or bullying have been raised. The University also offers mediation by trained mediators as an intervention to help resolve issues	
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.	HWU is a founding member of the Athena SWAN Charter and currently holds a University-level Bronze Award, as well as four School-level Bronze Awards.	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.	6.10.1 The Schools, Athena SWAN Project Officer and University Self-Assessment Team will successfully gain renewal of the University Bronze Award in November 2016.	AS	Achieved. Information available on HWU Athena SWAN web pages. Action plan and achievements also on web pages.	See 6.1.2
			6.10.2 The Athena SWAN Officer and University Self-Assessment Team will support the Schools in achieving School-level Athena SWAN awards and implementing the action plans.	AS	School level awards in place. Action plans available on HWU Athena SWAN web pages and achievement regularly updated.	See 6.1.2



HR EXCELLENCE IN RESEARCH

Action Plan 2016-2018



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	What we do already	What we need to do	How and when	Dept.	Actions	Impact
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.	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.	Continuous monitoring of feedback and 'closing the loop' on the feedback process by providing summaries of the feedback received.	7.1.1 ALD 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.	ALD	ALD has annually monitored participant engagement and feedback with its provision, and analysed the CROS and PIRLS surveys. Reports have been produced and the results fed-back to senior management and other stakeholders in order to inform on-going development of progress in supporting the University's Research community.	See references to individual CROS responses throughout plan.
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).	Heriot-Watt currently utilises CROS, PIRLS, and the Research Staff Working Group review and monitor staff opinions.	Present arrangements will remain unchanged.	7.2.2 An Academic Programme Leader will collate the results of CROS and PIRLS and report them every two years, within 12 months of the survey date to the UCRI.	ALD	Reports prepared in April 2018. Reported to DP (R&I) as chair of UCRI and Director of HRD as Chair of RSF.	

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 establishing strategic partnerships between funders.	<p>We are exploring collaborative initiatives through the new Scottish Funding Council (SFC) University Innovation Fund (UIF) with Queen Margaret University and other Scottish Universities. This is to promote Scotland-wide training for SME translational skills for research staff in support of the innovation-led economic growth agenda.</p> <p>Heriot-Watt University is involved in collaborations towards researcher development with other Scottish Universities through Scotland-wide networks such as Universities Scotland and ScotHERD (Scottish Higher Education Researcher Developers). These networks typically involve information sharing of best practice.</p> <p>Additionally, Heriot-Watt's development programmes are informed by the work of Vitae e.g. mapping the Research Futures programme to the Researcher Development Framework.</p>	<p>Maintain links with Scotland-wide networks. Explore collaborative initiatives through the UIF with other Scottish Universities. Maintain engagement with Vitae.</p>	7.4.1 RES to investigate with Queen Margaret University and other Scottish Universities the potential to develop and share good practices in relation to promoting industry engagement as a form of bridging for research staff. This will include looking at possible models of cross-institutional collaboration. This activity will be linked to equality and diversity impact assessment of profiles of research staff who undertake commercialisation and knowledge exchange.	RES	Heriot-Watt receives financial support for its Knowledge exchange and commercialisation activity through the SFC University Innovation Fund (UIF). During the period, 2016 to 2018, University KE offices are developing a framework of collaborative activities that underpin key Scottish government activities for HEIs that include the themes of "Increased Entrepreneurism", "Internationalisation", "Diversity and Equality" and Inclusive Growth each led by one institution, with others HEIs expected to collaborate and share their practices within the theme to develop and implement a "National Best Practice for Scotland". Within the Diversity & Equality theme led by Heriot-Watt, a workshop was held in 2017, with representatives of Athena SWAN and E&D practitioners from 15 HEIs across Scotland including, Queen Margaret, Glasgow, Aberdeen, Scottish Funding Council and Scottish Government.	A collaborative proposal to embed the identified best practices into the research community will be submitted during AY2018/19.
			7.4.2 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.	ALD	The Researcher Development Coordinator and the Head of ALD have attended Scottish and UK sector-wide committee meetings on Researcher Development on behalf of the Institution.	Further workshops are planned for AY2018 and will align to the UIF objectives: http://www.sfc.ac.uk/funding/university-funding/university-funding-innovation/university-innovation-funding.aspx
			7.4.3 ALD will maintain engagement with Vitae, through institutional membership, and participating in and promoting Vitae events to the academic community.	ALD	ALD has arranged for Heriot-Watt University to be a subscribing member of Vitae and has continued to promote the organisation to the academic community.	

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.					
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