

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.	Measure
1. All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	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 Bicentennial Chairs Recruitment initiative, targeting the recruitment of leading competitive research at all grades. The reward and promotion processes are reviewed annually with any changes communicated to staff by digital communications and meetings in academic Schools, led by the Deputy Principal (Development and Engagement) and HRD Partners.	Present arrangements will remain unchanged.	1.1.1 HR promotion processes will continue as present with review of process annually. Any changes of process to be supported with relevant guidance and training provided at start of promotions cycle.	REE	Monitor response to clarity and transparency of promotion processes as part of University surveys in 2018 and 2019. Aim to ensure these are in line with overall Academic responses. CROS responses to promotion and progression to outperform national average.
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.	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. 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" 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	Ensure present arrangements are adhered to.	1.2.1 HR will continue to provide information online for current and potential staff members in a clear and transparent manner. 1.2.2 HR will continue to promote diversity on all academic job posts in liaison with the Athena SWAN Project Officer, reporting in 2019 at the end of the current Athena SWAN award.	OD/HRS HRS	Monitor applications and appointments to Researcher roles by gender, disability and ethnicity on annual basis to ensure these are in line with diversity statistics for all Academic roles at HWU See 1.2.1

	given on how to identify/write these for all recruiting managers.		1.2.3 HR will ensure the University maintains its status as a Disability Confident Employer.	HRS	Retention of award 2019
			1.2.4 Improve access to wellbeing support through better signposting and linking of support mechanisms and resources particularly for physical, mental and financial wellbeing.	REE	Responses to CROS 2019 Mental Health commitment question with aim of 60% agreement. Monitor sickness absence statistics days for RA's and benchmark against whole HWU and sector.
			1.2.5 Promote new telephone counselling service to all staff and monitor takeup. (Confidential so no details by staff group).	HRS	Responses to CROS 2019 Mental Health commitment question with aim of 60% agreement.
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 to 2018 the number of all research staff on open-ended contracts remained steady at around 24-26%.	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 monitor those moved from fixed-term to open-ended contracts.	HR / iHR	Report on annual basis with aim of outperforming national average for CROS 2019.
			1.3.2 HR will report annually to RSF 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	Monitor via RSF meeting minutes. 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 2019. This information will then be used to set an appropriate target for the percentage of eligible research staff on open ended contracts.	HRS	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	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. 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.	Ensure that selection panels follow the University Ordinances, and that recruiters are aware of, and using the templates provided. Continue to provide interview feedback if requested. Providing candidate feedback is the responsibility of the panel chair and advice on how to do this effectively is provided in our interview training.	1.4.1 OD will continue to provide mandatory online recruitment training, and monitor adherence to policy. Reporting to Staff Committee on an annual basis.	OD	Monitor HWU community opinion of recruitment and selection experience via University employee surveys in 2018 and 2019.
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.	HWU uses agreed level descriptors which are linked to grade, and has a standard job evaluation system (HERA), accepted in the university sector and used across the UK. Pay structures adhere to the framework agreed as part of New JNCHEs, and is standardised across HW in the UK. However pay within each grade is on the basis of role, past performance and experience.	Present arrangements will remain unchanged.	1.5.1 The REE team will continue to operate within the agreed pay and grading framework for researchers and report promotions annually to UE.	REE	Monitor promotion statistics on an annual basis (applications and successes) for RA's and ensure in line with overall academic figures. Also 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.	Measure
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 HWU Strategy 2020-2025 review is currently underway. Consultation is open to all staff via meetings and blogs. The Research Strategy has a 'Supporting Our People' strand. HRD staff and researchers have been invited to be part of this group to help shape the strategy. The new strategy will outline objectives to support the development of researchers at all levels across the University. The reward and promotion processes are reviewed annually with any changes communicated to staff by digital communications and meetings in academic Schools, led by the Deputy Principal (Employee Engagement and Development) and HRD Partners.	Present arrangements will remain unchanged.	2.1.1 The University will continue to provide the same benefits package to all staff.	REE	Monitor RA responses to University survey in 2018 and 2019 for questions relating to reward and benefits. Ensure they are in line with other HWU staff. Monitor response to CROS 2019 and outperform national average for terms and conditions questions.
			2.1.2 HWU will continue to provide relevant development support for research staff. Activities will be informed by the HWU and Research Strategy 2020-2025. Financial support for 2018-19 will be provided for the Postdoc Forum to support networking and career development events for the Postdoc Community. This will be reviewed for 2019-20	ALD	Ensure reference to 'development time' referred to in RDF is built into supporting our people strand of the new development strategy.
			2.1.3 Improve accessibility of information relating to rewards and benefits for potential and current employees by enhancing the web pages.	REE	Monitor web analytics for new web pages relating to wellbeing and engagement. Monitor CROS 2019 response to mental health and wellbeing question with aim of outperforming national average.

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.	HW abides by the principles and terms laid down by the 2002 Regulations, which also reflects the JNCHEs guidance on use of fixed term contracts.	Present arrangements will remain unchanged.	2.2.1 HR will ensure that the University maintains compliance with Regulations and guidance.	HRS	Proportion of fixed term staff to be reported and discussed at RSF and PSLB
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.	Heriot-Watt has a clear strategy for Research Intensification, and its Performance Development Review [intranet] process discusses performance expectations related to this. Reward and promotion processes are available to all staff via the staff intranet and will be available on externally facing webpages in 2018. Current PDR 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.	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.	2.3.1 Academic Development Programmes are reviewed annually to ensure they meet current needs. ALD programme design is overseen by an Advisory Group comprising DP (R&I), Director of HRD, DoR based in Schools including overseas campus and Head of Research Institutes. Recruitment of new team members within ALD is underway following a restructure to improve focus on Researcher Development.	ALD	Minutes of ALD Advisory Group meetings. Evidence of input from RSF.
	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, there is a 'First 100 days' toolkit for managers, 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. HWU runs mandatory training for Supervisors of PGR students for new and existing supervisors. The PI and Supervisory training includes reminders of the need to allow staff time to attend career development opportunities. The current programme will be reviewed in 2018 to ensure it meets requirements. All interview panellists are trained in equality and diversity, including special circumstances processes, provisions and approach. Reward and Employee Engagement department run workshops on 'Academic Promotions', led by the Deputy Principal (Staff Development and Engagement). 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.		2.3.2 The Researcher Development Coordinator in ALD will review the data on doctoral supervisors during 2018/19, and report to UCRI 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 2019.	ALD/OD	Monitoring of Supervisor development stats including number of RA's attending in readiness for future career progression.

			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.	HRD	Evidence of email/e-news event.
			2.3.4 OD to deliver new workshops aimed at new or aspiring managers covering introductory level management skills. Workshops open to research staff.	OD	Monitoring of participation and feedback levels relating to these opportunities including reporting of RA participation. Report to RSF on annual basis.
			2.3.5 ALD to provide information on their web pages outlining HWU's commitment to development of Postdoctoral researchers	ALD	Monitor question relating to awareness of Researcher Development Initiatives and Policies in CROS 2019 aiming to exceed national averages. Monitor web analytics on annual basis and report to RSF.
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 for 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.	OD	See 1.3.1

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.	HRD	See 1.1.1
			2.5.2 HR will collect and analyse data regarding academic promotions of research staff, reporting annually to UE.	REE	See 1.1.1
			2.5.3 OD team to ensure appropriate online information for PDR reviewers of research staff is available.	OD / ALD	CROS 2019 results will be used to assess the impact of these on the quality of researchers' PDR experience. University surveys in 2018 and 2019 will also be used to monitor RA responses against overall staff responses relating to usefulness of PDR.
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 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 Enterprise training (offered through Research and Enterprise Services), career management training and research collaboration events (offered through ALD).	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 promotion, and their success rates.	2.6.1 OD continue to provide mandatory training for PDR Reviewers, which will include a section on career development (this training will continue to be provided on a demand-led basis).	OD	Monitor participation levels for training and report annually to RSF and PSLB. Also see 2.5.3
			2.6.2 REE will continue to review promotion and regrading processes annually, with relevant guidance and training provided. The number of research staff attending career development workshops will be reported annually to RSF.	REE/OD	Participation and feedback levels to be monitored following sessions. Responses to CROS 2019 for career development to be monitored with the aim of exceeding national averages.
			2.6.3 A new programme for research staff will be piloted in 2018/19. This will focus on 'working with business'. Its content will be advised by RES and Interface - an external organisation that aims to promote collaboration between industry and academia. Further collaboration events with UoE and the HWU Postdoc Forum will be supported financially by ALD.	ALD	Feedback from this pilot will be monitored with the aim of a 70% positive feedback rate.

			2.6.4 REE will collect and analyse data regarding academic promotions of research staff, reporting annually to UE.	REE	See 1.1.1
--	--	--	--	-----	-----------



HR EXCELLENCE IN RESEARCH

Action Plan 2018-2020



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.	Measure
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 with members of their research team on an annual basis, covering performance, development and career prospects. 92% of HWU CROS respondents had undertaken PDR.	Continue to provide up-to-date online content with signposting to relevant development opportunities including promoting events through staff e-news, newsletters and the ALD website. 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 will continue to promote External Opportunities via the ALD webpages, HWU e-news and the ALD e-newsletter.	ALD	Monitor web analytics and report to RSF on annual basis. Monitor feedback from RA Reps/CROS 2019 to assess engagement levels. (Target 50% of RA's engaged.)
			3.1.2 The number of meetings 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	Monitor and report participation in PDR using iHR stats annually in June each year. (90% target for RAs). Cross check against University surveys in 2018 and CROS 2019.
2. A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.	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 Enterprise Summer School run by the University's Enterprise team is aimed at fostering business development and entrepreneurship among staff and students, providing workshops on innovation, building and developing teams, budgets, venture finance and technology commercialisation. ALD will continue to run 'Careers Beyond Academia' and Careers within Academia' as part of the wider Research Futures programme aimed at supporting researchers' career development and work collaboratively with UoE to explore further joint events like the Research Staff Careers Symposium run in 2017-18, and planned 'Engaging with Business' programme.	ALD need to provide workshops for research staff on career management. The Enterprise team should continue to provide the Enterprise Summer School. ALD will continue to deliver bespoke events to promote research collaboration	3.2.1 OD will continue to provide Career Thinking workshops, reviewing the provision on an annual basis, reporting annually to RSF the number of research staff attending.	OD	Monitor and report annually on participation for RA's and feedback. Comparison against wider academic roles. Report to RSF annually. From CROS 2019 increase percentage of respondents who have undertaken career management development to 40%
			3.2.2 ALD will continue to run 'Careers Beyond Academia' and Careers within Academia' as part of the wider Research Futures Academy programme, with a target of 50% of our research staff participating in career development events/workshops by academic year 2019/20 (which starts September 2019).	ALD	Monitor and report to RSF on participation and feedback annually. (50% participation and 70% positive feedback)

			ALD will explore further opportunities for development of researchers such as a pilot programme for collaborating with business jointly with RES.	ALD/RES	See 2.6.3
			3.2.3 The Enterprise team will continue to facilitate engagement in KE and commercialisation activities, providing the Enterprise Summer School each year, reporting the successes each year.	ALD	Monitor and report on participation and feedback annually for RAs. Target of 70% positive feedback.
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.	The Centre for Academic Leadership and Development (ALD) helps early career researchers and academic staff maximise their research capacity and career development via award-winning programmes which provide training and development opportunities in the following areas: 1. Academic leadership e.g. Heriot-Watt Crucible, Scottish Crucible 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. 3. Researcher skills and career development e.g. Research Futures a) The Research Futures workshop programme provides a wide range of skills courses throughout each year for research staff. In the past two years, x% of academic staff participation has been research only staff (y individuals engaged with the programme in 2017/18). These courses are mapped to the Researcher Development Framework, and include skills such as project management, supervision, academic writing, knowledge exchange and leadership. 4. Knowledge Exchange and Research Collaboration e.g. HW Exchange and Research Connect Event ALD works with HWU Research Leaders and external partners to develop bespoke Research Connect events designed to promote collaboration and interdisciplinary research. These events run over one or two days and bring	ALD will continue to deliver bespoke events to promote research collaboration including Scottish Crucible	3.3.1 Scottish Crucible programme will continue subject to funding beyond 2018. Further collaborative events will be delivered subject to support from research leaders and ALD Advisory Group and in line with new Research Strategy themes.	ALD	Monitor and report feedback with target of 70% positive responses for SC and bespoke collaborative events.
			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.	ALD	Monitor annual takeup of RF programmes for RA's and wider academics. Report to RSF annually.

	together researchers at all stages of their careers to work together around key research themes (eg HWU -SNBTS and HWU- BGS events). 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	Minutes of ALD Advisory Group meetings.
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 HWU to continue to provide support to staff seeking placements and secondments internally in line with the new secondment policy keeping a record of opportunities undertaken, reporting annually to Staffing Committee.	REE	Report applications for and no of secondments for different staff group annually.
			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 2020. See also 3.2.	OD	See 3.2.1
5. Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.	Contracts, role descriptors, promotion processes and PDR expectations [intranet] are available online. The reward and promotion processes are regularly reviewed and any changes communicated. The Personal Development Management System (PDMS) used for booking training and events within ALD allows researchers to plan their development by viewing training courses against the Researcher Development Framework (RDF).	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..	ALD	From CROS 2019 monitor awareness of RDF and exceed national average (30% target)
			3.5.2 Researcher Development Coordinator to map all new ALD programmes against the RDF.	ALD	Evidence on ALD webpages and learning outcomes for each programme. Also 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 August after the final workshops.	ALD	Monitor and report participation for each staff group and gender to ensure this is in line with HWU staff ratios
			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 2019.	OD	See 3.1.2
7. Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.	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) are regularly updated, do not only include the RDF but also to display more information on the workshop programme and how workshops fit into the domains of the RDF.	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 ensure information on the RDF, including lenses and how the workshops map to the sub-domains of the RDF on the ALD website, is up to date.	ALD	See 3.5.1
			3.7.2 The ALD presentation at staff inductions and supervisor training throughout the year include information regarding the RDF.	ALD	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. Mentoring?	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. University-wide mentoring programme?	3.8.1 OD to maintain Career Thinking workshop (or similar) and coaching provision, on an ongoing basis.	OD	See 3.2.1
			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.	ALD	See 3.3.2
			3.8.3 ALD staff will implement a 'Resources' or 'Links' page on the website or intranet during 2016/17.	ALD	Monitor web analytics to ensure website is useful to ECR community. Maintain stats for next 2 years.
			3.8.4 Mentoring. Evaluation of pilot programme? What do we offer?	ALD	

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.	Researcher managers are required to have a PDR discussion with their research team on an annual basis, covering performance, development and career prospects.	Monitor using iHR to ensure these meetings take place.	See 3.1.2, 3.6.2 and 3.6.3.	OD	See 3.1.2, 3.6.2 and 3.6.3.
---	---	---	------------------------------------	-----------	------------------------------------

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.	Measure
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.	Research managers are required to have a PDR discussion with members of their research team on an annual basis, covering performance, development and career prospects. Researchers are eligible to attend the Career Thinking workshop provided through OD, designed to support all colleagues in managing their career. This is supplemented by the option of 1:1 coaching for participants.	Use the iHR system to monitor PDR completion. Continue to provide career development focussed opportunities including coaching	See 3.1.2, 3.6.2, 3.6.3 and 3.8.	OD	See 3.1.2, 3.6.2, 3.6.3 and 3.8.
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.	See Principle 3, Clause 3 for an explanation of the Postgraduate Certificate in Academic Practice qualification offered at HWU. Additionally, the Research Futures programme offer workshops in areas such as writing practice, publishing and winning funding. Research staff are eligible to attend the full remit of staff development offered at Heriot-Watt University. 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. Organisational Development updated their intranet site in 2015, providing a wide array of materials and guidance.	Maintain the PGCAP and Research Futures provision. Maintain the External Opportunities webpage, and provide additional signposting to other organisations that provide support for academic practice.	4.2.1 HWU to maintain the PGCAP provision.	ALS	Monitor and report participation and feedback in PGCAP for RA's. Track
			4.2..2 ALD to maintain the Research Futures provision	ALD	See 3.3.2
			4.2.2 The Communications team within ALD to maintain the External Opportunities webpage, and enhance the 'Resources' page. Social media activity to be increased to signpost to other relevant opportunities.	ALD	See 3.1.1. Monitor social media followers and activity and aim for 10% increase per year.

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 of these programmes moved to the Academic and Learner Services team in 2017. Academic and Learner Services liaise with staff and students to ensure that Information Services resources and services meet the learning, teaching and research needs of the University. The PGCAP programme has been revised for 2018-19 to ensure it continues to reflect good practice and to meet the requirements of HWU 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. See also 3.3.	IS	See 4.2.1. Monitor equivalent for LEADS. Report via RSF annually.
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. Activity has continued with the group contributing to policy and process changes such as the review of PDR and HWU internal communications processes. The Research Staff Forum 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.	Continue to encourage wider representation to cover all campuses and a wider range of roles with the GEEF. Improve access to information on HR policies via web pages. Ensure RSF 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 to increase awareness of work of the Global Employee Experience Forum to encourage wider representation and input. 4.4.2 ALD will ensure that RSF meetings are held three times a year, with the Chair reporting to each PSLB meeting where appropriate. 4.4.3 ALD will review membership of the RSF annually to ensure it reflects the research staff population. 4.4.4 Directors of Research will ensure that there is a research staff representative on all appropriate School and Research Institute committees. 4.4.5 ALD to work with the newly formed Postdoc Forum to enhance involvement and representation of Postdocs with ALD activities.	REE ALD ALD Schools ALD	From University surveys in 2018 and 2019 monitor responses to questions relating to employee voice for RA's. Ensure this is in line with wider academic staff group. Minutes of RSF meetings Report to PSLB on annual basis. Report to UCRI on annual basis Monitor and report participation and feedback for Postdoc events

5. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	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. A pilot programme of research staff mentoring is underway in the School of Engineering and Physical Sciences, with a review during 2018/19, with a view to rolling it out University-wide.	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	Monitor and report applications for and uptake of RA's on Aurora programme annually and internal mentoring schemes to ensure this is in line with other wider academic staff group.
---	--	--	--	----	--

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.	Measure
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 Forum, 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 the Engagement Coordinator in ALD.	ALD	Achieve 40% participation rate for CROS and PIRLS 2019.
			5.1.2 ALD will use RSF and participant feedback to ensure Research Futures is relevant for, and builds capacity in, researchers.	ALD	From CROS 2019 aim for average of 7.5 days pa for participation in training and professional development.
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.	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. The Enterprise Summer School is now run by the HWU Enterprise Team and is aimed at fostering business development and entrepreneurship among staff and students, providing workshops on innovation, building and developing teams, budgets, venture finance and technology commercialisation. Previous teams of researchers have gone on from the Summer School to enter Environment YES, a NERC-funded business plan competition. Heriot-Watt is the founder of Converge Challenge which invites researchers to submit proposals for commercialisation of their research projects. Converge Challenge provides hands-on mentoring, rigorous training, business support and networking opportunities.	Continue to establish and develop strategic research partners outside Heriot-Watt. Continue to provide and develop the Enterprise Summer School. Maintain the success of Converge Challenge. Continue to provide support and facilitation for public and policy engagement through HW Engage.	5.2.1 ALD to continue to work with HWU Research Leaders to design and deliver bespoke Research collaboration events to meet requirements eg HW Crucible, Research Connect and Exchange type events	ALD	See 3.3.1
			5.2.2 Enterprise activities (including Converge Challenge) to continue and expand to increase Heriot-Watt researcher participation.	Enterprise team	Monitor and report participation and feedback. Increase uptake of enterprise activities within researcher community to 25% participation.

	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). Recently the HW Engage team has been moved to the RES Directorate of HWU to enable closer alignment with research support.		5.2.3 HWU will continue to support and facilitate public and policy engagement through HW Engage. See also 3.2.3.	ALD	Monitor and report participation and feedback levels for HWU RA's. From CROS 2019 increase positive engagement in response to KE and PE to 30%
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.	Researchers are required to demonstrate this approach explicitly in the development of their research. All research proposals are reviewed at School level by the School's Ethics Committee. Those decisions are then reviewed by the University's Research Ethics Committee (REC). 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 UCRI. 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. Mandatory online Data Protection training has been introduced for all staff. The impact of recent changes to GDPR has been assessed and the University Data Controller has advised at University and team level on required actions. Up to date Information is also held on the HWU webpages with regular updates via HWU e-news.	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	UCRI minutes
			5.3.2 ALD 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 2019/20 academic year (September 2019).	ALD	Expansion of Research Futures Academy provision to include 'Research Ethics'. Monitor via ALD Advisory Group
			5.3.3 UCRI will review further training requirements on Data Management for academic and research staff and students during the 2018/19 and 2019/20 academic years.	HW	UCRI minutes

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.	Workshops are available through both ALD and OD on career management encouraging staff to consider future career routes in addition to academia. The training available through ALD's Research Futures programme is mapped to the RDF, providing the generic transferable skills recommended within the Framework. Converge Challenge provides researchers with training, mentoring and business planning support (see Clause 2).	Current provision will be continued with further opportunities for academic/business research links to be enhanced.	5.4.1 ALD, OD IS 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, PSLB and UE. The Researcher Development Coordinator will be responsible for prompting and collating annual reviews for the RSF.	ALD / OD / IS / RES	See 5.1.2
			5.4.2 Pilot of research/business consultancy development event to be delivered and evaluated in 2019.	ALD/RES	See 2.6.3
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.	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. 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.	Provide details of wider development opportunities online for research staff. Monitor effective completion of the PDR process using the new iHR system.	See 2.6.2 See also 3.1.2		See 2.6.2 See also 3.1.2
6. Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities.	See Principle 5, Clause 5 above.				

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

Clause	What we do already	What we need to do	How and when	Dept.	Measure
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.	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 2017-21. 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. The University's Research Strategy is under review and will be mapped to these Equality Outcomes to ensure application of action areas. The University's SFC Outcome Agreement embeds equality and diversity into our activities (includes a gender action plan). This supports and influences us 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.	Successfully renew the Athena SWAN Bronze Award at University level. 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.	6.1.1 Equality and Diversity Advisor to report against Equality Outcomes annually to EDAG.	REE	Analyse responses from RA's from University surveys in 2018 and 2019 to ensure they are in line with wider academic community. From CROS 2019 aim for target exceeding national average for Perceptions of E&D and Perceptions of Fair treatment.
			6.1.2 Athena SWAN Project Officer to ensure the University retains the University-level Bronze Award.	AS	Successful retention of award in 2019.

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.	The University's commitment to equality and diversity is outlined in our Equality and Diversity Policy, our Equality Outcomes and our SFC Outcome Agreement. We are an international University (with campuses in Scotland, Dubai and Malaysia) and take steps to enable cross working at our campuses as outlined in guidance [intranet]. We are embarking on a Building Our Commonality Project to ensure that our Professional Services align with our international presence and a refresh of our Values to ensure they represent HWU's increased globalisation and the diversity that we are proud of. We have a range of policies in place to enable staff to move effectively to the University including provision of removal expenses and secondment . Our PDR process is designed to ensure development opportunities are tailored to individuals.	Ensure all policies and practices are assessed prior to implementation to ensure they do not negatively impact on any staff group or individual.	6.2.1 Equality and Diversity Advisor to oversee that current policy is maintained including the provision of Equality and Privacy Impact Assessments for any policies and practices. These are considered as part of the standard approvals process for UE.	UE	See 1.2.1
			6.2.2 As part of new Inclusivity Matters project to support individuals within HWU with Disabilities, raise awareness and ability to support colleagues.	Project team	All members of UE and 70% of PI's to undertake training by 2020.
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.	Equality and Diversity is embedded at Heriot-Watt through: • 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	REE	6.1.1

4. Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.	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. Managers should effectively communicate support processes, policies and procedures. Managers should ensure that efforts are made to consider all reasonable requests for flexible working.	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. Website presence to be enhanced to ensure information is more accessible to staff.	HRD	See 6.1.1
5. It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	See Clause 4 above.	Improve the way we equip managers to respond to flexible working requests to help ensure balance the business needs with maintaining an agile workforce.	Series of workshops and information events to be run in 2018-19 for managers and RA community.	HRD	See 6.1.1
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	See 6.4.1

7. Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	Recruitment and Selection procedures are very transparent and policies/procedures are published on the website. 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"	Present arrangements will remain unchanged.	Present arrangements will remain unchanged.	HRD	See 1.1.1, 1.2.1 and 6.1.1
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.	See Clause 4 above.	Ensure EPIAs are undertaken for any changes to policy.	6.8.1 The Researcher Development Coordinator will ensure that programme design accommodates the diverse researcher community and personal circumstances through the annual review of the programme and response to specific requests .	ALD / REE	See 6.1.1
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. 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.	Ensure that Harassment and Bullying Grievance Procedure is accessible and managers are aware of their responsibilities.	6.9.1 HR to ensure that policies are accessible on the web pages and HR Consultants and Partners will work with managers to advise on current practice and specific issues.	HR	See 6.1.1

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.	AS	See 6.1.2
			6.10.2 The Athena SWAN Officer and University Self-Assessment Team will support the Schools in maintaining School-level Athena SWAN awards and implementing the action plans.	AS	See 6.1.1 and 6.1.2

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.	Measure
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	Feedback levels for RF programmes in excess of 3.5. Analysis of RA feedback for University surveys in 2018 and 2019 for RA's. CROS 2019 results - target 40% response and above national average in all questions.
			7.1.2 Develop a dashboard of management information to report to UE on 6 monthly basis.	Wkg Group	Reports to UE and action log from results.
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	See 5.1.1. Minutes from UCRI meeting.
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.	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. 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. 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.	Maintain links with Scotland-wide networks. Explore collaborative initiatives through the UIF with other Scottish Universities. Maintain engagement with Vitae.	7.4.1 Heriot-Watt receives financial support for its Knowledge exchange and commercialisation activity through the SFC University Innovation Fund (UIF). Following the development of a framework of collaborative activities that underpin key Scottish government activities the HEIs involved in this initiative will collaborate and share their practices within the theme to develop and implement a "National Best Practice for Scotland".	RES	A collaborative proposal to embed the identified best practices into the research community will be submitted during 2018/19 with a view to receiving funding. 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

			7.4.2 ALD staff 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	Report back to ALD Advisory Group and RSF.
			7.4.3 ALD will maintain engagement with Vitae, through institutional membership, and participating in and promoting Vitae events to the academic community.	ALD	From CROS 2019 increase response to awareness of Vitae question to 75%.('Some understanding' and 'Awareness but no detail' combined figure).
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.				