Concordat to Support the Career Development of Researchers

Implementation Plan and Gap Analysis

Open University 2012 - 2016

Concordat to Support the Career Development of Research Staff
The Open University Institutional Context and Review Process

The University

The Open University is open to people, places, methods and ideas. Its Charter commits the OU to 'the advancement of learning and knowledge by teaching and research' and 'to make provision for research and for the advancement and dissemination of knowledge in such manner and by such means as the University may determine'. It promotes educational opportunity and social justice by providing high-quality university education to all who wish to realise their ambitions and fulfil their potential.

It is the largest university in the UK with more than 250,000 undergraduates and taught postgraduate students, and just over 1000 postgraduate research students. As well as our central campus in Milton Keynes, the OU has 13 regional/national offices, 1,100 academic and research staff and approximately 3700 support staff. As a world-class distance learning university we have students based in numerous countries within and outside the European Union. The OU is consistently ranked among the top three UK universities for the quality of its teaching.

The OU partners in some ground breaking initiatives. It was the first UK University to join iTunesU, where over 44 million downloads of OU material have now been made. The OU TESSA project (Teacher Education in Sub-Saharan Africa) provides 200,000 primary school teachers in nine countries with free access to OU materials for the classroom and was awarded a Queen's Anniversary Prize for Higher and Further Education in 2009. The Health Education and Training (HEAT) programme was launched in early 2011 with a bold ambition – to reach and help train 250,000 frontline healthcare workers across sub-Saharan Africa by 2015. The OpenLearn platform provides free online educational content to anyone anywhere in the world.

The Open University was the highest-ranking higher education institution in the 2010 *Sunday Times* Best Companies to Work For, list for the public sector. The personal and career development of our research staff is of central importance to our university strategy. As a signatory we welcome the opportunity for our support to be benchmarked against the *Concordat to Support the Career Development of Research Staff*.

Our Research

The OU supports a vibrant research portfolio and fosters research teams who compete with top ranked institutions in the UK and worldwide. In the 2008 Research Assessment Exercise the OU demonstrated real growth in research income and impact by climbing 23 places to 43rd in the rankings. More than 50% of OU research was assessed in the 2008 RAE as internationally excellent, with 14% as world leading. External funding for research and enterprise was £15.6 million per year (2010/11). In keeping with our Charter and in the same way as OU students and alumni span the globe, so too does the reach of our research. As well as having extensive partnerships with businesses around the world, the OU partners with governments, other universities, NGOs and a host of other agencies to share expertise, technologies and the exchange of new research knowledge to benefit society worldwide.

Research is carried out in each individual faculty, school and institute of the University as well as in its research centres. There are approximately 850 members of staff on academic contracts (210 fixed term) and 250 members of staff on research contracts (118 fixed term), 78% are located at the University's central campus in Milton Keynes and 22% work in regional and national offices.

The University currently hosts the following interdisciplinary Research Centres and Networks:

- The Centre for Citizenship, Identities and Governance

- The Centre for Research in Computing

- The Centre for research in Education and Educational Technology

- The Centre for Earth, Planetary, Space and astronomical Research (CEPSAR)

- The Biomedical Research Network

- The OpenSpace Research Centre (the OU's Centre for Geographical and Environmental Research.

Examples of current and recent projects include:

- The ESRC-funded *Identities and Social Action Programme* (2004-2008)

- *Finance Innovation and Growth* (FINNOV), financed through Theme 8 of the European Commission's FP7 - a research collaboration between seven European institutions (2009-2012)

- *Oecumene: Citizenship after Orientalism* funded by a European Research Council Advanced Grant (2010-2013)

- The AHRC funded research project, *Making Britain: South Asian Visions of Home and Abroad, 1870-1950* (2007-2010) *and Beyond the Frame: Indian British Connections* in partnership with the British Library through the museum *World Collections Programme (2010-2012).*

- *Increasing Resilience in Surveillance Societies* (IRISS). This project is funded by the EU FP7 programme and involves 16 partners across Europe (2012-2015)

- *MOTILL - Mobile Technologies in Lifelong Learning*: *best practices*, funded by the European Commission within the National Lifelong Learning Strategies programme (2009-2011)

- Over the past 10 years, CEPSAR has attracted external research income exceeding £55 million from a wide portfolio of sponsors – STFC, NERC, ESA, EPSRC and the EU. Most recently, (2012) a team of scientists from The OU has joined the European Space Agency (ESA) collaboration to build Euclid, a satellite, which will investigate why, the Universe is expanding at an accelerating rate.

We are also partners in several inter-institutional research centres including:

- Innogen - The Centre for Social and Economic Research on Innovation in Genomics (with the University of Edinburgh)

- CRESC - The Centre for Research on Socio-cultural Change (with the University of Manchester)

- CRISP - the Centre for Research into Information, Surveillance and Privacy (with the University of Stirling)

In April 2012, the University was proud to announce that it has been awarded £299,456 of Catalyst funding for a three-year project designed to embed public engagement within research in UK Higher Education Institutions (HEIs).

Our Research Students

We have 1000, directly registered postgraduate research students; over 300 (31%) are working on research projects at the University's campus in Milton Keynes. Part-time research students (41%) are located across the UK while 28% of our PGRs are registered for Open University research degrees at Affiliated Research Centres. Many of these are industrial, commercial or public sector research laboratories with a strong commitment to training researchers. The Research Degrees Office administers all PGRs. All full-time and part-time PGRs have two internal supervisors. PGRs working in our Affiliated Research Centres are supervised locally.

The Review Process and Development of the Action Plan

In 2010/11, the outgoing Pro Vice Chancellor Research and Scholarship, (Professor Brigid Heywood), commissioned the Academic Coordinator, Research Career Development (RCD) to conduct a review (gap analysis) of the university's policies and practices against the principles of the Concordat. Overall responsibility for then passed to her successor, the Pro Vice Chancellor, Research Scholarship and Quality, (Professor Tim Blackman) in October 2011. The review and the development of the attached action plan were carried out between October 2011 and September 2012 and included consultation with key stakeholders (research staff, academic staff and postgraduate research students).

Evidence for the review was compiled from existing policy documentation and the following staff and student surveys: the Research Office 2012 Research Environment Survey, the 2010 and 2011 Staff Surveys carried out by Human Resources and the 2011 PRES survey. In addition, the Academic Coordinator, RCD consulted members of the Research Career Development Advisory Group (RCDAG) and the Doctoral Training Working Group (DTWG). RCDAG represents research staff from the university's faculties, schools and institutes. Membership includes representation from HR Development and the OU Library. It is chaired by the Academic Coordinator and reports to Research Committee. The DTWG represents Directors of Research Students and Postgraduate Tutors and includes representation from full and part-time postgraduate research students. It is chaired by the Head of the Research Degrees Office and reports to Research Degrees Committee. The Academic Coordinator also carried out one-on-one meetings with research staff and PGRs and attended meetings of UCU to discuss fixed-term contracts.

The review process indicated that current provision meets many of the expectations contained within the Concordat. Research Committee endorsed an initial draft of the Concordat Implementation Plan in May 2012. The plan was subsequently further discussed and refined in consultation with relevant institutional leads between July and September 2012. The attached document outlines the status of each clause for each of the seven principles of the Concordat. It provides evidence for current compliance and identifies required actions, institutional leads and indicative timescales. A condensed version of the plan with actions, leads and timescales is provided at the end of the document.

The PVC Research, Scholarship and Quality will establish a new *Concordat Implementation Group* in January 2013 to take the Action Plan forward. This group will be managed by the Director of the Institute of Educational Technology, the unit responsible for academic staff development in the OU. The group will include representation from all key stakeholders including Human Resources and UCU. It will report annually to the PVC Research, Scholarship and Quality on progress of actions identified in the implementation plan using institutional monitoring and review data, annual staff surveys, and in 2013, CROS, PIRLS and PRES. The group will conduct a comprehensive self-audit to test and update this plan in December 2014 and will prepare evidence for external audit by the Concordat strategy group and European Commission in 2016. An official Concordat Implementation launch for all key stakeholders, including all research staff, will be held in January 2013.

Open University 2012 – 2016: Concordat Implementation Plan and Gap Analysis

A. Recruitment and Selection

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

No.	Concordat Paragraph	Evidence of current compliance[1]	Actions	Lead	Timescale
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution	Research is central to The Open University's mission. The University is committed to delivering research and scholarship externally recognised for excellence and impact that can deliver substantial benefits to its mission and priorities. This commitment is communicated to members of the University through the *2012-2015 Priority Mandate: Research and Scholarship part of the Open University Strategic Plan 2012-15.* [2] The University's Codes of Practice (CoP) outline expectations for staff and students concerning research integrity and the conduct of research. Senate approved a revised *CoP for Research* in July 2012. The *CoP for Research Students and Supervisors* was revised in October 2011[3]	Progress against the Research and Scholarship Priority Mandate is reported to the University's senior management on a regular basis. Disseminate revised *CoP for Research* to the OU research community through relevant committees & faculty leads: Map compliance of *CoP for Research Students and Supervisors* against 2012 QAA Quality Code and adjust policies and practice as required.	PVC Research, Scholarship and Quality Senior Manager: Research Governance Head of Research Degrees	X 3 annually By Dec 2012 Implementation by July 2013

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[1] Where appropriate, links to relevant sites on the University's internet are provided for information. The Open University's intranet provides all categories and grades of staff (including postgraduate research students) with access to comprehensive information about the University's Strategic Plan 2012-2015; its policies and procedures; professional development opportunities etc. Links to intranet sites are given for internal purposes.

[2] https://intranet7.open.ac.uk/collaboration/strategic-plan/SitePages/Home.aspx

[3] CoP for Research: http://www.open.ac.uk/research/research-school/resources/research_information_and_communications.php (UKRIO was consulted on revisions to this Code), CoP for Students and Supervisors: http://www3.open.ac.uk/res-handbook/

1.2	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	The University's Priority Mandate for Research & Scholarship demonstrates commitment to recruiting a workforce with appropriate expertise and experience, which is well motivated and performs effectively. Equality of opportunity is a core value of the University. Its recruitment and selection procedures (including person and vacancy specifications) provide mechanisms to assess and appoint the most able and effective employees while ensuring that all individuals are treated with objective fairness and sensitivity. These procedures can be freely consulted in the University's Effective Recruitment and Selection Guide [4] (last renewed, July 2012) Terms and Conditions of Service for Research Staff were revised and updated in October 2011. These apply to all Research Assistants, Research Associates, Research Fellows, and Senior Research Fellows and are freely available.[5] Revisions were agreed by UCU following consultation with research staff.	No new action required: regular review of the University's approach to recruitment and selection ensures that selection procedures and terms and conditions are sufficiently robust and effective in attracting excellence.	Head of HR Strategy & Policy Develop-ment	Annually

[4]See Effective Recruitment and Selection Guide http://www.open.ac.uk/foi/eer/pics/d71565.pdf

[5] See http://intranet6.open.ac.uk/human-resources/policies-and-procedures/t#documents and http://www.open.ac.uk/foi/eer/index.shtml

| 1.3 | Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason | The University has embraced the changes introduced in 2002 in relation to fixed-term contracts. These changes established greater protections for staff employed on a fixed-term contract or on a series of fixed-term contracts for a continuous period of four or more years. The University currently has the following policies under which fixed term colleagues are managed[6]:

1. *Fixed Term Contract policy*

2. *Procedure for converting Fixed Term Appointments to Permanent*

3. *Redundancy Consultation Procedure for FTCs*

4. *Renewal or Termination Procedure for FTCs*

In addition the University has established a fixed term policy group with the University and College Union (UCU). This group meets quarterly. | Monitor the use of fixed-term contracts for Research Staff particularly with respect of staff holding Senior Research Fellowships

Monthly consultation by University management with UCU re the use of fixed term contracts for all academic and research staff

Review of how best to articulate the use of fixed-term contracts in existing policies | Director of Human Resources

Head of HR for Strategy and Policy Development | Ongoing

Ongoing

Ongoing |

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[6] See http://www.open.ac.uk/foi/eer/index.shtml

| 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. | Recruitment
Individuals serving on recruitment panels must complete the HR *Recruitment and Selection* on-line training module.[7] The university requires panels to reflect diversity and follow processes outlined in the University's *Effective Recruitment and Selection Guide.* [8] HR and faculty staffing teams routinely monitor the selection and operation of panels to ensure fairness, consistency, and the best assessment of a candidate's potential. Candidates short-listed for a post are offered feedback. Internal advice on recruitment and selection is also available to all staff via the intranet.[9] | No new action required: regular review of the University's approach to recruitment and selection ensures that selection procedures continue to reflect diversity and are fair and consistent. | Head of HR for Strategy & Policy Development | Ongoing |
| | | Progression The criteria and guidance for promotions to senior lecturer/senior research fellow and to readership or chair as well as information about the academic promotions and appeals procedures[10] are available to all academic and research staff. The Secretary to the Academic Staff Promotions Committee (ASPC) and Chair and Readership Subcommittee briefs all new committee members on an individual basis. | No new action required: regular (annual) review of the University's approach to progression to ensure that promotion procedures are sufficiently robust and effective in rewarding excellence | V C (Chair-ASPC) and Deputy Chair, (PVC Research, Scholarship & Quality) | Ongoing |

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[7] http://www.open.ac.uk/equality-diversity/

[8] http://www.open.ac.uk/foi/eer/pics/d71565.pdf

[9] http://intranet6.open.ac.uk/human-resources/policies-and-procedures/p#documents

[10] http://intranet6.open.ac.uk/governance/main/appointments-promotions/academic-and-researchstaff-promotions

[11] The Open University is a member of the development group for the Professional Skills for Research Leaders programme being developed by Epigeum:
http://www.epigeum.com/component/programmes/?view=programme&programme=45

		ASPC advises faculties on the outcome of promotions cases and provides feedback to applicants. This is used to inform discussions between applicants, their line managers and senior members of academic staff. All academic and research staff undergo annual appraisal. The appraisal process is intended to offer advice and guidance on progression, objectives and targets. Line managers are required to complete an on-line module on *Career Development and Staff Appraisal* (CDSA). There is specific guidance on the CDSA process for fixed term, contract research staff. The Research Environment Survey 2012, however, revealed a need for improvement in some areas of research management and mentoring of academic and research staff to enable career development and progression.	Consult research managers (RMs) and (PIs) on their training needs re the management and progression of research staff and ensure these are met (e.g. either through in-house development, or through proprietary courses offered across the sector)[11]. Report annually to the Concordat Implementation Group.	Academic Coordinator, Research Career Development (RCD)	Introduce new courses in January 2014 Review uptake & participation June 2014
1.5	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	All staff have been assimilated to the new single pay spine on the basis of closest comparable pay points. This information is available to all staff through the HR intranet web pages,[12] In 2011, role outlines for Research Assistants and Associates, Fellows and Senior Fellows were reviewed in conjunction with UCU and following direct consultation with the research colleagues themselves. This has established greater clarity of roles and expectations.	No new action required.	Head of H R for Academic Units	

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[12] http://intranet6.open.ac.uk/human-resources/policies-and-procedures/s#documents

B. Recognition and Value

Concordat Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.

No.	Concordat Paragraph	Evidence of current compliance	Actions	Lead	Timescale
2.1	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 Open University 2012-2015 *Priority Mandate for Research and Scholarship* states the University's commitment to enhance capability and deliver sustainable improvements in the quality and impact of its research. The operational plan for research and scholarship includes a commitment to implement the Principles of the Concordat.	Concordat Implementation Group to receive and consider regular information on researchers' perceptions of the University's employment practices to feed into an institutional self-assessment of this action plan.	Director, Institute of Educational Technology (IET)	Self-assessment report 2015
2.2	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	Research colleagues are employed on fixed term contracts in accordance with established University policies namely[13]: Fixed Term Contract Policy Redundancy Consultation Procedure for fixed Term Contracts Procedure for Converting Fixed Term Appointments to Permanent Renewal or Termination Procure for fixed Term contracts	Monitor the use of fixed-term contracts for Research Staff particularly with respect of staff holding Senior Research Fellowships	Director HR	Ongoing

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[13] http://www.open.ac.uk/foi/eer/index.shtml

	Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations	Use of fixed term contracts must be justified at each stage in the recruitment process, the four-year stage and at termination, in accordance with the above policies. Regular consultation meetings are held with UCU over the use of fixed term contracts. The University has a bridging scheme, which enables bridging between funded fixed term contracts when certain criteria apply. However, where funding allows and work is ongoing, research colleagues may be employed on a permanent basis.	Review and regular (monthly) discussions between university managers and UCU re the use of fixed term contracts for all academic and research staff	Head of HR for Academic Units	Ongoing
2.3	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	The University operates a policy of active performance management and annual appraisal for all grades of staff including fixed-term contract research staff. Line managers of academic and research staff are required to complete an on-line module on Career Development and Staff Appraisal (CDSA). There is specific guidance for managers of research staff on the CDSA process for fixed term contract research staff. [14]The University has a Code of Practice for the Management of Research (revised 2010, in consultation with researchers).[15] Faculties' responses to the University's 2010 *Audit of Research*, and individuals' responses to the *Research Environment Survey* 2012, indicate room for improvement in mentoring, performance and contract management of researchers in some areas as well as a need to enhance the guidance currently available.	Consult research managers (RMs) and principal investigators (PIs) on their training needs re the management and progression of research staff and ensure these are met, (e.g. either through in-house development, or through proprietary courses offered across the sector). Report annually, to the Concordat Implementation Group. Ensure a new induction programme for PIs and RMs is in place to include performance management, use of the Vitae RDF, research leadership and	Academic Coordinator Research Career Development (RCD) Academic Coordinator RCD	By April 2013 By October 2013

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[14] CDSA Guidance for Appraisers of Fixed Term Contract Research Staff http://intranet6.open.ac.uk/human-resources/policies-and-procedures/a

[15] The Code of Practice for the Management of Research http://intranet.open.ac.uk/research-school/committees/rec/papers-2010.shtml#mtg3

	how effectively this supports good research management		mentoring, research career development, equality and diversity training and post award management.		
			Disseminate information about the above to all faculties and research groups and monitor uptake by RMs and PIs through the Learning Management System, reporting to the Concordat Implementation Group on an annual basis.	Academic Coordinator RCD	By June 2014
			Monitor researchers' perceptions of research management, mentoring & career development through institutional surveys, feedback on training and CROS and PIRLS 2013 to feed into institutional self-assessment.	Concordat Implementation Group	Annual commencing 2013
2.4	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	The University is committed to the Ongoing employment of all of its employees as far as is reasonably practicable. However, it is recognised that circumstances may arise where changes either in organisational requirements or in the personal circumstances of staff may necessitate redeployment to other roles within the University.

The University has processes for seeking to redeploy any permanent and fixed term colleague at risk that are applied in all cases where colleagues find themselves at potential risk. These include a redeployment register, a priority application process, and a bridging policy that can bridge between contracts for up to 6 months. HR Development offer dedicated career advice to | Monthly consultation by University management with UCU re the use of fixed term contracts for all academic and research staff | Head of HR for Academic Units | Ongoing |

	this objective	colleagues at risk.			
2.5	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	All categories of staff, including career researchers are progressed automatically in compliance with the Framework within their grade[16]. All staff at the University are subject to a single spine pay scale and standard terms and conditions which are the result of collective bargaining with the trade unions.	No new actions necessary	Director of HR	Ongoing
2.6	Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies	The annual appraisal process includes discussion of individual research plans, objective setting and review of career progression options. Researchers are made aware, through the relevant University websites, of advertised posts and the skills they are required to demonstrate.[17]Information on the annual academic and research staff promotions exercise is disseminated to all staff by email. The Research Career Development (RCD) Team and HR Development offer Induction programmes and career development workshops for early career researchers (including research degree students).	Adopt and promote the new *Integrated Career Development Strategy and Framework* (under development). Develop new role expectation documentation to embrace the full range of academic career pathways, including those of staff on research contracts. Embed the new *Framework* in organisational HR development strategies	Director, IET " " "	All actions ongoing for implementation by 2013/14

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[16] See Terms and Conditions for Research Staff - http://www.open.ac.uk/foi/eer/p3.shtml

[17] http://www.open.ac.uk/foi/eer/p12.shtml

		The on-line *Research Profile System (*introduced February 2012) collects information on research activity and achievements an individual level[18]. An automated Learning Management System records individuals' CPD activity. These tools inform performance review and the development of promotion cases.	Disseminate operational information on the new Framework to Faculties		

19 http://intranet.open.ac.uk/research-school/rps/purpose.shtml

C. Support and Career Development

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

No.	Concordat Paragraph	Evidence of current compliance	Actions	Institutional	Timescale
3.1	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	From 2003-2010, the university received approximately £60K from RCUK (Roberts funding) annually and invested an equivalent sum to develop institutional career development and transferable skills programmes for PGRs, early and mid-career research and academic staff. In 2011, Vice Chancellor's Executive agreed a business plan to sustain the programmes post-Roberts. Both programmes[19] are freely available to all research and academic staff and are reviewed annually using feedback from researchers and PGRs. The *Research Environment 2012 Survey* indicates that further development of the programme for academic and research staff is necessary to meet researchers' needs. Timing and availability is an issue for all staff, particularly for those in regional and national offices. PRES 2011 and institutional feedback on PGR transferable skills training indicates that full-time PGRs regard availability of their programme as	Benchmark existing provision against the Researcher Development Framework (RDF) and identify new opportunities Encourage proactive engagement with Vitae and regional and national training events, (e.g. Scottish Researcher Career Coordination Forum) For academic and research staff, identify resource to provide Proprietary on-line training modules that researchers can access at point of need. Consider versioning existing on-line OU CPD short courses. For PGRs, develop an on-line doctoral training and transferable skills	Academic Coordinator, RCD " " Head of Research Degrees Office & Institute of Educational	Ongoing Ongoing for implementation 2013-14 Sep 2012 for completion Oct 2014

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[19] http://www.open.ac.uk/research/research-career-development/resources.php and http://research-diary.open.ac.uk/

		timely and appropriate. Training provision for part-time PGRs, by contrast, is in need of further development.	programme to be delivered through the VRE, accessible to all PGRs.to supplement existing face2face provision.	Technology	
		To meet this need the University has agreed to invest in a *Virtual Research Environment (VRE).* This will provide a web-based portal for all doctoral research students and supervisors with links to information about research degrees policies, transferable skills and career development.	Review and evaluate PGR engagement with the VRE using standard OU analytics.		June 2015
3.2	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 Research Career Development Support programme offers commercial skills and entrepreneurial professional development activities for researchers and PGRs. *Broadening Horizons* workshops encourage researchers to explore career opportunities outside academia.	Monitor existing training provision to ensure it meets the needs of research staff and supports them in career development across sectors.	Academic Coordinator RCD	Ongoing
		The new *Integrated Career Development Strategy and Framework* (see 2.6) will provide role expectation documentation about academic career pathways. Regular career development workshops and one-to-one specialist career advice is available for PGRs. There is also careers advice for PGRs on our website[20]:	Extend specialist career advice to early/mid researchers on fixed term contracts.		By June 2013
		The 2011 PRES survey indicated a need for the University to assist doctoral research students and	Liaise with local FE providers to identify teaching opportunities.	Director, IET	Ongoing

[20]http://www.open.ac.uk/research/research-career-development/resources.php

		early career researchers to develop teaching skills.			
3.3	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 University recognises the value of development activities at different levels and in different disciplinary contexts and is committed to meet the needs and action plans of research councils as laid out in their strategy for employer engagement and the research environment. An *Integrated Career Development Strategy and Framework* is under development. The Framework will provide guidance on the professional skills and competencies researchers need to enhance their employability prospects.	Embed the new *Framework* in organisational HR development strategies. Disseminate operational information on the new Framework to Faculties	Director, IET	Ongoing for implementation by 2013/14
		Recent audits indicate a need to introduce tailored support for research leaders as part of the Leadership Management Development programme so that they can offer more effective mentoring to researchers.	Introduce dedicated research leadership and management training into the RCD programme and monitor uptake (see 1.4 above)	Academic Coordinator RCD	By January 2014
		The Open University has recently launched a new Research Communications Strategy. As part of the implementation of this Strategy, a programme of events aimed at engaging researchers with research communication methodologies, including specific events on media training, is now in play, (see also 3.9 below).	Monitor uptake of these opportunities by researchers.	Senior Manager, Research Communications	Roll out of initial plan by June 2013 and then on-going
3.4	Employers will wish to review how their staff can	All development opportunities are advertised on a central HR Development web site, which is		Human Resources	Ongoing

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[21] http://www3.open.ac.uk/employment/

		accessible to all University staff.[21] *Broadening Horizons* workshops (independent external provider) encourage researchers to exploring career opportunities outside academia. These are offered annually. PGRs are provided with regular (quarterly) career development workshops and one-to-one independent advice on employability. The University Careers Advisory Service also offers on-line support. [22] Research Staff and PGRs are encouraged to engage with career development opportunities offered by Vitae and other external organisations.	Extend independent advice on employability and career opportunities to early/mid career researchers on fixed term contracts.	Academic Coordinator RCD	By June 2013
	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				
3.5	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.	The CDSA process provides a tool for the discussion of career plans and the identification of required development needs (see 2.3 & 2.6 above). The University's policies for promotion and reward are transparent, (see 1.4 above).	Monitor implementation of CDSA responses from research staff to inform future development plans. Embed personal development planning as part of the CDSA process: promote the Vitae RDF Professional Development Framework to researchers and research managers	Faculties Faculties	Annual Ongoing

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[22] http://www.open.ac.uk/careers/resources-for-phd-researchers.php

3.6	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	New members of staff are invited to attend induction events organised by Human Resources. These convey an understanding of the organisation. The Research Career Development team arranges a dedicated induction event annually for researchers covering the services provided by the Research Offices, research governance, and policies and procedures relating to research integrity & ethics. A mentor is assigned to all new staff for the duration of their probation. Faculties, research centres and research teams implement local induction initiatives. The Faculty of Science has an Early Career Support Network.[23] The *Research Environment Survey 2012* reveals a need for some improvement in mentoring and career management for early career researchers, especially those new to the University, in some areas.	Monitor the effectiveness of induction at all levels. Provide additional support to PIs to engage productively (and at an early stage) with new researchers (see 2.3)	HR Academic Coordinator RCD & Faculties	Annual By October 2013

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[23] http://www.open.ac.uk/research/research-career-development/resources.php

3.7	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 University is currently in the process of setting role expectations for all academic staff on all career paths; these articulate the skills that should be developed at each grade of research staff employment, (see 2.6)	Update PIs and Research Managers on role expectations and skills development for research staff. Monitor researchers' perceptions of opportunities available (see 2.3).	Academic Coordinator RCD	Ongoing
3.8	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 University's *Audit of Research 2010* and *Research Environment Survey 2012* indicate a need for more focused research mentoring of early and mid career researchers and the need for a specific career development strategy. The Integrated Framework for Academic Development will define career pathways and role expectations for researchers, (see 2.6 above) Additionally, the University is committed to ongoing development and review to improve the position of women in terms of recruitment, retention, progression, mentoring, and career development. In line with Athena Swan recommendations, progress will be reviewed yearly and objectives set. This will include seeking staff opinion as to progress and key focus areas across the University.	Provide PI Induction programme and training in Research Leadership & Management (see 2.3 & 3.3 above) See 2.6 above Institutional submission for Athena Swan (Bronze) to include specific actions on mentoring and will monitor progress against actions annually.	Academic Coordinator RCD Director, IET Senior Manager Research Governance	By January 2014 2013/14 Submission November 2012 Annual monitoring

3.9	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	The annual CDSA appraisal process offers this opportunity (See 2.3 & 2.6). The University is committed to the value of CPD for researchers at all stages of their career. Terms and Conditions of Service: Research Staff[24] permit engagement with the University's teaching activity and other academic duties including the updating of professional knowledge and experience (see 3.1 above). Researchers are encouraged to write for publication and to use the Open University's Open Access repository of research publications. Researchers may absent themselves to attend meetings, conferences and symposia, three times a year. Faculties provide resources to assist members wishing to attend conferences and symposia. The Open University has been awarded RCUK Catalyst funding for a three-year project to embed public engagement (PE) with research at all levels.[25] It will implement a rewards scheme recognising researchers for excellence in public engagement, issue calls to researchers for projects on public engagement with research and provide structured opportunities for user communities and other stakeholders to engage with OU researchers and research.	Monitor effectiveness of CDSA and engagement of researchers with CPD activity. Promote researcher engagement with PE initiatives and monitor uptake	Faculties Pro Vice Chancellor RS&Q	Annual Ongoing 2012 - 2015

[24] http://www.open.ac.uk/foi/eer/p3.shtml

25 http://www.rcuk.ac.uk/per/Pages/catalysts.aspx

C. Support and Career Development

Concordat Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.

no	Concordat Paragraph	Existing evidence of compliance	Actions	Lead	Timescale
4.1	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	The annual CDSA review offers an opportunity for an informed and constructive dialogue on both the nature of the staff member's contribution, and his/her career plans, (see 3.5 above). In February 2012, the RCD Team introduced Vitae's 2-day *Broadening Horizons: Career Management for Researchers* workshops as part of its annual programme of events. Similar workshops are offered to full-time PGRs including the Vitae Effective Researcher workshop. In 2012, this was also offered to part-time PGRs at a residential conference. The Library training site, Information Skills for Researchers, encourages personal development planning and also directs researchers to the Vitae website and RDF[26]	Monitor effectiveness of CDSA process for researchers. Embed these workshops into the annual RCD programme and monitor uptake, reporting to Concordat Implementation Group and Deans of Faculties	Faculties Academic Coordinator RCD	Ongoing Ongoing
4.2	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	Depending on the conditions of the funder, members of research staff are encouraged to engage in teaching activities so far as these do not amount in total to a commitment of more than the equivalent of one day a week, (see 3.9). Opportunities to prepare for academic practice for all staff include Human Resources Development's Academic Development programme and the Institute of Educational Technology's (IET) Learning & Teaching programme of educational and professional development activities to support the University's e-learning and e-teaching strategy. Additionally IET offers a PGCE (HE)	Monitor uptake of these opportunities by researchers, reporting to Concordat Implementation Group.	Director, IET	Annual

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[26] http://www.open.ac.uk/infoskills-researchers/development-plan.htm

		qualification. The *Integrated Framework for Academic Staff Development* will introduce an accredited CPD scheme that will enable staff to apply for Higher Education Academy Associate Fellow or Fellow status. This is under development (see 2.6). The University offers a suite of (non-credit bearing) continuing professional development (CPD) courses. [27] All members of staff, including research staff, are entitled to a fee waiver on all courses and modules taught by the University.			
4.3	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	See information in 3.9. & 4.2	Monitor uptake of training provision by researchers, reporting to Concordat Implementation Group	Director, IET	Annual
4.4	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	At University level, research staff and PGRs, are represented on Senate; Research Committee, Research Degrees Committee and Research Career Development Advisory Group, Doctoral Training Working Group and Faculty committees. Relevant annual effectiveness reviews enable monitoring of PGRs and researchers' engagement with institutional policies and relevant committees.	Monitor representation and participation through relevant committees' Annual Effectiveness Review, reporting to Senate	Committee Chairs and Secretaries; Faculties	Annual
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement	The implementation of individual research planning is well underway but is clearly uneven at present as the *2010 Audit of Research* and the *2012 Research Environment Survey* highlight a need for more systematic mentoring and research leadership of early and mid career researchers.	Review mentoring arrangements across the University to inform action plans to develop targeted training for research leaders and mentors of research staff (see 2.3 & 3.3 above)	Faculties & Academic Coordinator RCD	ByJanuary 2014

[27] http://www3.open.ac.uk/study/professional-skills/index.htm

D. Researchers' Responsibilities

Concordat Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.

no	Concordat Paragraph	Existing evidence of compliance	Actions	Lead	Timescale
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers	The University's commitment here is conveyed through its *2012-2015 Priority Mandate: Research and Scholarship* and its Code of Practice for Research, (see 1.1)	No new actions required		
5.2	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	The Innovation and Enterprise team promotes and encourages academic and PGRs to engage in knowledge transfer. Its key objectives are to develop productive links with commerce and other external stakeholders, promote the generation, protection, and use of intellectual property for the benefit of innovators and social enterprise, the University, local, regional and national government and society as a whole. The Office delivers a session for PGRs on Guide to Intellectual Property Rights. Through our HEIF funds the units supports a Commercial Collaboration Competition open to PGRs and as part of this competition successful applicants get access to training on developing a business plan and how to do an elevator pitch. The team also supports Knowledge Training Partnerships (KTPs) and workshops for these are open to PGRs. Entrepreneurial Academic and Commercialisation	. Annual Competition Annual Workshops	 Director, Innovations and Enterprise (I&E)	 Launch Competition 2012/13 then annual. Ongoing

		Skills workshops are offered annually through the Research Career Development programme			
		We are currently exploring whether courses delivered through the Open University on line modules have Knowledge Exchange and Enterprise units which can be lifted and tailored to create a training programme that can be delivered online.	Embed these activities into the annual RCD programme	Director, (I&E) & Academic Coordinator RCD	For implementation 2013/14
5.3	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	The University is committed to maintaining standards of professional conduct in all research activities and requires staff to observe the principle that it must be conducted in accordance with the highest contemporary ethics standards.	Monitor maintenance of standards of professional conduct.	Chair Research Ethics Advisory Group	Ongoing
		Ethics issues broader than those concerning human participants are kept under review and addressed by a specialist body of the University's Research Committee, the Research Ethics Advisory Group.			
		The University's *Code of Practice for Research* and its *Ethics Principles for Research with Human Participants* are introduced to research staff and PGRs at induction; awareness of these is maintained through a dedicated website[28] and a range of ongoing communications university-wide.	Monitor participation and researcher feedback on research ethics workshops, induction programmes and Library seminars for new researchers, report to Concordat Implementation Group	Director, IET	Annual in June
		The University offers workshops in research ethics for PGRs, supervisors and early career researchers. Members of the research ethics committees and offer specialist support and guidance to researchers. Guidance is also available on the Research Ethics website. The Open University Library offers seminars on research data management and Open Access Publishing.			

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[28] http://www.open.ac.uk/research/ethics/index.shtml

5.4	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	See 4.1 & 4.2	See 4.1 and 4.2		
5.5	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 that 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	A range of development opportunities and support services are in place for research staff. All these options are highly recommended and ultimately it is up to the researcher to decide whether to engage or not. The existing support is regularly reviewed and research staff are invited to offer feedback and make suggestions for improvement where necessary.\n\nThe CDSA process is an opportunity for a constructive dialogue with every researcher on his or her career and development needs. (see 3.5 above) .	Update PIs and Research Leaders on internal and external developments re professional development/competency frameworks and profiling tools for researchers (e.g. OU Research Profile System and Vitae RDF)	Academic Coordinator RCD	October 2013

| 5.6 | 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, a log of which may be presented to current and future employers as appropriate | All researchers are required to maintain research plans as part of the CDSA process; these form the basis of discussion at individual research planning meetings.

The online *Research Profile System (*introduced February 2012) collects information on research activity and achievements an individual level.[29] An automated Learning Management System records individuals' CPD activity.

Use of the RDF for personal development planning is promoted as part of Researcher Induction.

All these options are highly recommended and ultimately it is up to the researcher to decide whether to engage or not. | No new actions required | Faculties | Ongoing |

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[29] http://intranet.open.ac.uk/research-school/rps/purpose.shtml

E. Diversity and Equality

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

No.	Concordat Paragraph	Existing evidence of compliance	Actions	Lead	Timescale
6.1	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 recently revised and updated its Equality Scheme after consultation across all faculties and units. The Equality Scheme 2012-2016 articulates agreed equality objectives (ES - Appendix 1) and an equality action plan (ES - Appendix 2). [30] Members of the Equality and Diversity Management Group (EDMG) support Senior Accountable Executives across the University in implementing the equality action plan. The University is preparing a submission to Athena Swan, (see information 3.8 and 6.10). The Physics and Astronomy Department currently holds a Juno Practitioner award.	Members of EDMG monitor progress against agreed equality objectives and action plan and report to Equality and Diversity Strategic Management Group and the Concordat Implementation Group.	Head of Equality and Diversity/ Director, IET	June and December annually
6.2	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 Equality Scheme and Equality Objectives 2012-2016 embraces this principle. The university is committed to encouraging the recruitment and retention of researchers from the widest pool of talent. [31] The existing recruitment policy and process requires recruitment panels to proactively address equality and diversity at all stages of recruitment and selection, (see also 1.2 above.	Regular review of the University's approach to recruitment and selection to ensure that selection and retention procedures continue to proactively address equality and diversity.	Human Resources	Ongoing

[30] http://www.open.ac.uk/equality-diversity/index.shtml

[31] http://www.open.ac.uk/equality-diversity/p8_1.shtml

6.3	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.	See information in 3.8 The University has a flexible working policy to support colleagues with caring responsibilities and other individual needs and circumstances. The University gives due consideration to any requests for flexible working and is committed to supporting flexible working arrangements where operationally feasible. It is also committed to offering support and making reasonable adjustments to accommodate disability and illness. In addition to advice and expertise offered by HR, there is a comprehensive set of on-line resources for line-managers on the management of disability. [32]	Review the Researcher Induction programme to ensure that it provides information to new researchers on these policies and processes so that they understand how to request support and raise concerns.	Academic Coordinator RCD	January 2014
6.4	Employers should ensure that the working conditions for researchers provide the	The University's supports all early career researchers and PGRs with caring responsibilities and individual needs through the following	Members of EDMG will monitor and report progress (see 6.1) against the following actions to address the needs	Head of Equality and Diversity/ Director, IET	2012 - 2016

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[32] http://intranet.open.ac.uk/Human-resources/Disability/

[33] http://intranet6.open.ac.uk/human-resources/policies-and-procedures/a

	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	schemes and policies:[33] Childcare voucher scheme Childminding expenses scheme Parental leave policy Dependents leave policy Flexible working policy that permits remote working Unpaid career-break policy There is also a 54-place workplace nursery and pre-school at the University's central campus. [34]	of early career staff: Review the structure of job roles to create opportunities for younger academics; Promotion of positive attitudes towards younger academics' working conditions; Development of clearer career paths for early career academics and researchers		
6.5	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 information in 1.2 & 3.8 The University has a flexible working policy to support colleagues with caring responsibilities and other external commitments. The University gives due consideration to any requests for flexible working and is committed to supporting flexible working arrangements where operationally feasible.	Implement monitoring of successful and unsuccessful applications.	Director of Human Resources	Ongoing
6.6	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	OU policies are reviewed on a regular basis to ensure compliance with legal change and best practice.	No new actions required. Regular review of the Equality Scheme ensures that the University's policies are updated as necessary.	Head of HR for Policy	As required

[34] http://www.mulberrybear.org.ok

	provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave				
6.7	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	Equality of opportunity is a core value of the University. Its recruitment and selection procedures (including person and vacancy specifications) provide mechanisms to assess and appoint the most able and effective employees while ensuring that all individuals are treated with objective fairness and sensitivity. These procedures can be freely consulted in the University's *Effective Recruitment and Selection Guide*. [35] Individuals serving on recruitment panels must complete the HR *Recruitment and Selection* on-line training module.[36] The university requires panels to reflect diversity and follow processes outlined in the *Effective Recruitment and Selection Guide.* HR and faculty staffing teams routinely monitor the selection and operation of panels to ensure fairness, consistency, and the best assessment of a candidate's potential.	No new actions required: regular review of the University's approach to recruitment and selection to ensure that selection procedures and terms and conditions are sufficiently robust, effective and transparent with respect to diversity.	Head of HR Strategy and Policy Development	Ongoing
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include	The University is committed to supporting an inclusive community and welcomes researchers and PGRs with disabilities and/or other requirements. It makes reasonable adjustments to	No new actions required (see 6.4).	Head of HR Strategy and Policy Development	Ongoing

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[35] Effective Recruitment and Selection Guide http://www.open.ac.uk/foi/eer/pics/d71565.pdf

[36] http://www.open.ac.uk/equality-diversity/

	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	meet the needs of all its employees and students and has appropriate policies and guidance to assist with the management of researchers' personal circumstances, (see 6.4). It makes reasonable adjustments that may be required for researchers with a disability, health condition, mental health disability or specific learning difficulty. A Professional Communication in English course runs annually and the OU Library also offers advice and on-line training to support the development of researchers' academic literacy skills.			
6.9	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	Relevant policies and guidance are in place to ensure that adequate support and information is in place to monitor practice this area. The University has a Bullying and Harassment policy, a Grievance policy and a Public Interest Disclosure policy.[37] Researchers can consult a team of specialist advisors in HR for advice. There is a formal complaints policy and set of procedures for PGRs. [38]	Review Researcher and PGR Induction programmes to ensure that new researchers are aware of relevant policies and processes and are enabled to raise concerns	Academic Coordinator RCD	Jan 2013
6.10	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	The University is preparing a submission to Athena Swan, (see information in 3.8).] The Physics and Astronomy Department currently holds a Juno Practitioner award.	Institutional Submission to Athena Swan, (Bronze) Status Submission for renewal of Juno Practitioner award for Department of Physical Sciences.	Senior Manager Research Governance	November 2012 November 2013

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[37] http://www.open.ac.uk/foi/eer/index.shtml

[38] http://www3.open.ac.uk/res-handbook/p15_4.shtml

F. Implementation and Review

Concordat 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.

No.	Concordat Paragraph	Existing evidence of compliance	Actions	Lead	Timescale
7.1	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.	The former PVC Research and Enterprise commissioned a working group, chaired by the Academic Coordinator RCD, to conduct an internal gap analysis of institutional policy and practice against the Concordat principles. The Academic Coordinator then developed this Concordat Action Plan	Monitor and review the implementation of identified actions in the University's Concordat Action Plan in accordance with the University's regular (annual) unit planning cycle.	PVC Research, Scholarship and Quality	Annual
7.2	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 b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector	The University will support work at a national level as appropriate, including supporting the proposed steering group the benchmark study and the CROS 2013 survey.	Monitor and review the implementation of identified actions in the University's Concordat Action Plan in accordance with the University's regular (annual) unit planning cycle.	PVC Research, Scholarship and Quality	Annual

	and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS) e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector)				
7.3	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	The University has adopted the principles of the revised Concordat.		PVC Research, Scholarship and Quality	Ongoing
7.4	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.	The University actively engages with Vitae's activities. It makes funding available to support researchers in collaborating with researchers in other institutions. Researchers on Research Council (RC) and other funded projects share expertise and experiences with peers through attendance at national funders' fora. The University has a tradition of exploiting synergies between its research and teaching and of sharing innovation in digital scholarship and research technologies.[39] RCUK Catalyst funding will enable it to embed transferrable skills in public engagement (PE) with research at all levels and to share insights with other HEIs (see section 3.9).		PVC Research, Scholarship and Quality	Ongoing

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[39] For example http://www.vitae.ac.uk/policy-practice/13945-480251/all/513741/Digital-Researcher-2012.html and http://www.vitae.ac.uk/policy-practice/567271/Handbook-of-social-media-for-researchers-and-supervisors.html

| 7.5 | 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 | The University conducts these activities on a regular basis and data is submitted periodically to HESA and in future will also be submitted to Athena Swann.

The University will set up a Concordat Implementation Group to monitor academic and research staff views on contract stability and career development. It will do this by regular consultation with research staff and PGR representatives, analysis of annual staff survey data (the *Research Environment* and the HR *Pulse* surveys) and by monitoring progress against actions identified above through institutional reviews of relevant policies and procedures. Participation in CROS 2013 and PRES 2013 will be encouraged as a further test of researchers' views on progress against this action plan. | Set up a Concordat Implementation Group to collate management information using routine institutional monitoring and review exercises, staff surveys, national surveys and consultations with research staff and PGRs.

Implementation Group to report to HR and RSQ Office

Implementation Group to carry out an institutional self-audit to test and update this action plan, and report to HR and RSQ Office.

The University will cooperate with the external evaluation of this action plan in accordance with the process laid down by the Concordat Strategy Group and the European Commission. | Senior Manager Research Governance

Director, IET

Director, IET

Director, IET

PVC Research, Scholarship and Quality | Ongoing

January 2013

Annual

Dec 2014

2016 |

Open University 2012 – 2016: Concordat Implementation Plan

Key actions

<table>
<tr><td colspan="4">

A. Recruitment and Selection

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

</td></tr>
<tr><td>**Paragraph**</td><td>**Actions**</td><td>**Lead**</td><td>**Timescale**</td></tr>
<tr>
<td>1.1</td>
<td>Report progress against the Research and Scholarship Priority Mandate to the University's senior management on a regular basis

Disseminate revised CoP for Research to the OU research community through relevant committees & faculty leads

Map compliance of CoP for Research Students and Supervisors against 2012 QAA Quality Code and adjust policies and practice as required</td>
<td>PVC Research, Scholarship & Quality (RS&Q)

Senior Manager: Research Governance (RG)

Head of Research Degrees (RD)</td>
<td>X 3 annually

By Dec 2012

Implementation by July 2013</td>
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<tr>
<td>1.3</td>
<td>Monitor the use of fixed-term contracts for Research Staff particularly with respect of staff holding Senior Research Fellowships

Monthly consultation by University management with UCU re the use of fixed term contracts for all academic and research staff; review of how best to articulate the use of fixed-term contracts in existing policies</td>
<td>Director of Human Resources (HR)

Head of HR for Strategy and Policy Development (S&D)</td>
<td>Ongoing

Ongoing</td>
</tr>
<tr>
<td>1.4</td>
<td>Regular review of the University's approach to recruitment and selection ensures that selection procedures continue to reflect diversity and are fair and consistent.

Regular (annual) review of the University's approach to progression to ensure that promotion procedures are sufficiently robust and effective in rewarding excellence

Consult research managers (RMs) and (PIs) on their training needs re the management and progression of research staff and ensure these are met (e.g. either through in-house development, or through proprietary courses offered across the sector). Report annually to the Concordat Implementation Group</td>
<td>Head of HR for Strategy & Policy Development (S&PD)

PVC, RS&Q

Academic Coordinator, Research Career Development (RCD)</td>
<td>Ongoing

Ongoing

January 2014

Review uptake and participation June 2014</td>
</tr>
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B. Recognition and Value

Concordat Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.

Paragraph	Actions	Lead	Timescale
2.1	Concordat Implementation Group to receive and consider regular information on researchers' perceptions of the University's employment practices to feed into an institutional self-assessment of this action plan.	Director, Institute of Educational Technology (IET)	Self-assessment report 2015
2.2	Monitor the use of fixed-term contracts for Research Staff particularly with respect of staff holding Senior Research Fellowships	Director HR	Ongoing
	Review and regular (monthly) discussions between university managers and UCU re the use of fixed term contracts for all academic and research staff	Head of H R for Academic Units (Ac)	Ongoing
2.3	Consult research managers (RMs) and principal investigators (PIs) on their training needs re the management and progression of research staff and ensure these are met, (e.g. either through in-house development, or through proprietary courses offered across the sector). Report annually, to the Concordat Implementation Group.	Academic Coordinator, RCD	By April 2013
	Ensure a new induction programme for PIs and RMs is in place to include performance management, use of the Vitae RDF, research leadership and mentoring, research career development, equality and diversity training and post award management.	Academic Coordinator, RCD	By Oct 2013
	Disseminate information about the above to all faculties and research groups and monitor uptake by RMs and PIs through the Learning Management System, reporting to the Concordat Implementation Group on an annual basis.	Concordat Implementation Group (CSG)	By June 2014
	Monitor researchers' perceptions of research management, mentoring & career development through institutional surveys, feedback on training and CROS and PIRLS 2013 to feed into institutional self-assessment.	CSG	Annual commencing 2013
2.4	Monthly consultation by University management with UCU re the use of fixed term contracts for all academic and research staff	Head of HR for Academic Units	Ongoing
2.6	Adopt and promote the new Integrated Career Development Strategy and Framework (under development); develop new role expectation documentation to embrace the full range of academic career pathways, including those of staff on research contracts; embed the new Framework in organisational HR development strategies; disseminate operational information on the new Framework to Faculties	Director, IET	All actions ongoing for implementation by 2013/14

C. Support and Career Development			
Concordat Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.			
Paragraph	**Actions**	**Lead**	**Timescale**
3.1	Benchmark existing provision against the Researcher Development Framework (RDF) and identify new opportunities and encourage proactive engagement with Vitae and regional and national training events, (e.g. Scottish Researcher Career Coordination Forum).	Academic Coordinator, RCD	Ongoing
	For academic and research staff, identify resource to provide proprietary on-line training modules that researchers can access at point of need. Consider versioning existing on-line OU CPD short courses.		Implementation 2013-14
	For PGRs, develop an on-line doctoral training and transferable skills programme delivered through the VRE, accessible to all PGRs to supplement existing face2face doctoral training.	Head, RD & Director, Institute of Educational Technology (IET)	Completion Oct 2014
	Review and evaluate PGR engagement with the VRE using standard OU analytics.		June 2015
3.2	Monitor existing training provision to ensure it meets the needs of research staff and supports them in career development across sectors.	Academic Coordinator, RCD	Ongoing
	Extend specialist career advice to early/mid researchers on fixed term contracts.	Academic Coordinator, RCD	By June 2013
	Liaise with local FE providers to identify teaching opportunities for PGRs.	Director, IET	Ongoing
3.3	Embed the Integrated Career Development Strategy and Framework in organisational HR development strategies. Disseminate operational information on the new Framework to Faculties.	Director, IET	Ongoing for implementation by 2013/14
	Introduce dedicated research leadership and management training into the RCD programme and monitor uptake (see 1.4 above)	Academic Coordinator RCD	By Nov 2013
	Monitor researchers uptake of research communication and media training opportunities.	Senior Manager, Research Communications (RC)	Roll out, June 2013 and then on-going
3.4	Extend independent advice on employability and career opportunities to early/mid career researchers on fixed term contracts	Academic Coordinator RCD	By June 2013
3.5	Monitor implementation of CDSA responses from research staff to inform future development plans.	Deans of Faculties	Annual
	Embed personal development planning as part of the CDSA process: promote the Vitae RDF Professional Development Framework to researchers and research managers	Academic Coordinator, RCD & Faculties	Ongoing

3.6	Monitor the effectiveness of induction at all levels.	Director, HR	Annual
	Provide support to PIs to engage productively (and at an early stage) with new researchers (see 2.3)	Academic Coordinator, RCD & Faculties	By Oct 2013
3.7	Update PIs and Research Managers on role expectations and skills development for research staff. Monitor researchers' perceptions of opportunities available (see 2.3).	Academic Coordinator, RCD	Ongoing
3.8	Provide PI Induction programme and training in Research Leadership & Management (see 2.3 & 3.3 above)	Academic Coordinator, RCD	By Oct 2013
	See 2.6 above	Director, IET	2013/14
	Institutional submission for Athena Swan (Bronze) to include specific actions on mentoring and will monitor progress against actions annually.	Senior Manager, RG	Nov 2012 Annual monitoring
3.9	Monitor effectiveness of CDSA and engagement of researchers with CPD activity.	Deans, Faculties	Annual
	Promote researcher engagement with PE initiatives and monitor uptake	Pro Vice Chancellor RS&Q	2012 - 2015

Concordat Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.		
Paragraph	**Actions**	**Lead**	**Timescale**
4.1	Monitor effectiveness of CDSA process for researchers.	Deans, Faculties	Ongoing
	Embed career and personal development planning workshops into the annual RCD programme and monitor uptake, reporting annually to Concordat Implementation Group and Deans of faculties	Academic Coordinator, RCD	Ongoing
4.2	Monitor uptake of these opportunities by researchers, reporting to Concordat Implementation Group.	Director, IET	Annual
4.3	Monitor uptake of training provision by researchers, reporting to Concordat Implementation Group	Director, IET	Annual
4.4	Monitor representation and participation through relevant committees' Annual Effectiveness Review, reporting to Senate	Committee Chairs and Secretaries; Faculties	Annual
4.5	Review mentoring arrangements across the University to inform action plans to develop targeted training for research leaders and mentors of research staff (see 2.3 & 3.3 above)	Faculties & Academic Coordinator, RCD	By October 2013

D. Researchers' Responsibilities Concordat Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.			
Paragraph	**Actions**	**Lead**	**Timescale**
5.1	No new actions required (see 1.1)	PVC, RS&Q	
5.2	Embed knowledge transfer activities into the annual Research Career Development programmes for researchers & PGRs. Annual commercial challenge competition Annual KTP workshops Consider versioning OU, on-line Knowledge exchange & enterprise modules for delivery to researchers & PGRs. through the annual RCD programme.	Head, Innovation & Enterprise (I&E) Head, I&E Head, I&E Head I & E & RCD	Ongoing Launch 2012/13 Ongoing 2013/2014
5.3	Monitor maintenance of standards of professional conduct. Monitor participation and researcher feedback on research ethics workshops, induction programmes and Library seminars for new researchers, report to Concordat Implementation Group	Chair, Research Ethics (RE) Director, IET	Ongoing Annual in June
5.4	See 4.1 and 4.2		
5.5	Update PIs and Research Leaders on internal and external developments re professional development/competency frameworks and profiling tools for researchers (e.g. OU Research Profile System and Vitae RDF)	Academic Coordinator, RCD	October 2013
5.6	No new actions required		

	E. Diversity and Equality **Concordat Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.**		
Paragraph	**Actions**	**Lead**	**Timescale**
6.1	Members of EDMG monitor progress against agreed equality objectives and action plan and report to Equality and Diversity Strategic Management Group and the Concordat Implementation Group. Submission to Athena Swan, (see 3.8 and 6.10)	Head of Equality and Diversity/ Director, IET	June and December annually
6.2	Regular review of the University's approach to recruitment and selection to ensure that selection and retention procedures continue to proactively address equality and diversity.	HR	Ongoing
6.3	Review the Researcher Induction programme to ensure that it provides information to new researchers on these policies and processes so that they understand how to request support and raise concerns.	Academic Coordinator, RCD	January 2014
6.4	Members of EDMG will monitor and report progress (see 6.1) against the following actions to address the needs of early career staff: Review the structure of job roles to create opportunities for younger academics; Promotion of positive attitudes towards younger academics' working conditions; Development of clearer career paths for early career academics and researchers	Head of Equality and Diversity/ Director, IET	2012 - 2016
6.5	Implement monitoring of successful and unsuccessful applications.	Director of HR	Ongoing
6.6	No new actions required - OU policies are reviewed on a regular basis to ensure compliance with legal change and best practice	Head of HR, S&PD	As required
6.7	No new actions required: regular review of the University's approach to recruitment and selection to ensure that selection procedures and terms and conditions are sufficiently robust, effective and transparent with respect to diversity.	Head of HR, S&PD	Ongoing
6.8	No new actions required	Head of HR, S &PD	Ongoing
6.9	Review Researcher and PGR Induction programmes to ensure that new researchers are aware of relevant policies and processes and are enabled to raise concerns	Academic Coordinator RCD	Jan 2013
6.10	Institutional Submission to Athena Swan, (Bronze) Status Submission for renewal of Juno Practitioner award for Department of Physical Sciences.	Senior Manager, R G	Nov 2012 Nov 2013

F. Implementation and Review

Concordat 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.

Paragraph	Actions	Lead	Timescale
7.1	Monitor and review the implementation of identified actions in the University's Concordat Action Plan in accordance with the University's regular (annual) unit planning cycle.	PVC, RS&Q	Annual
7.2	Monitor and review the implementation of identified actions in the University's Concordat Action Plan in accordance with the University's regular (annual) unit planning cycle.	PVC, RS&Q	Annual
7.3	The University has adopted the principles of the revised Concordat.	PVC, RS&Q	Ongoing
7.4	Continue to actively engage with Vitae's activities Embed transferrable skills in public engagement (PE) with research at all levels and to share insights with other HEIs (see section 3.9)	PVC, RS&Q	Ongoing
7.5	Set up a Concordat Implementation Group to collate management information using routine institutional monitoring and review exercises, staff surveys, national surveys and consultations with research staff and PGRs. Implementation Group to report to HR and RSQ Office Implementation Group to carry out an institutional self-audit to test and update this action plan, and report to HR and RSQ Office. The University will seek to cooperate with the external evaluation of this action plan in accordance with the process laid down by the Concordat Strategy Group and the European Commission.	Director, IET Director, IET PVC, RS&Q	Jan 2013 Annual Dec 2014 2016