

## University of Portsmouth Researcher Development Concordat GAP ANALYSIS

April 2021

Obligation		Assessment: Fully meets/ working towards obligation or does not apply?	Evidence to support fully meeting/working towards obligation or why does not apply	Further actions required
<b>Environment and Culture</b>				
<b>Institutions must:</b>				
ECI1	Ensure that all relevant staff are aware of the Concordat	Working towards	CROS 2019, Q16.4 = 50% of respondents have never heard of the Concordat CEDARS 2021 RS 25% never heard of it, 50% don't know any detail Managers 26% never heard of it, 35% don't know any detail	See Priority 5 (also through other priorities)
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Working towards	We reviewed policies for reference to researchers and career support as part of our 2019-21 Concordat action plan, we also implemented a PIs guide, and started an Induction website. Furthermore, all new/revised policies are subject to an Equality Impact Assessment to ensure inclusivity.	Address in inductions. See Priority 3.
ECI3	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Fully meets	Policies and mechanisms are in place for all staff. Has been a significant focus on wellbeing in pandemic, with many resources made available. The RS network have delivered a session for RS specifically on this. Also webinar through RISDP. Also requirement to make staff aware of these policies and processes is included in PI guide website.	No actions identified at this point.
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	Fully meets	Compulsory training for staff on E&D. Provision for wellbeing and mental health is comprehensive, and has been enhanced during the past 12 months.	No actions identified at this point.
ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Fully meets	Significant focus in 2019-21 action plan (3.2), and we are satisfied that this obligation is currently covered through our engagement with the Concordat to Support Research Integrity.	No actions identified at this point.

ECI6	Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices	Fully meets	This is the purpose of URIC and why RDG ToR and membership was amended in 2019. We are running CEDARS in 2021.	CEDARS 2021 launched in April 2021
<b>Funders must:</b>				
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies	n/a		
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers			
ECF3	Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions			
<b>Managers of researchers must:</b>				
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Fully meets	We have training provision and monitoring mechanisms.	No specific actions under the Concordat, however, the Researcher Development Group are engaging with Athena Swan and Race Equality Charter groups to ensure that equality, diversity and inclusion are included in the RDG agenda.
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	Fully meets	We have training provision and monitoring mechanisms. We do reporting annually on research integrity which goes to BoG and also is published.	No actions identified at this point.
ECM3	Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity	Fully meets	There are policies and mechanisms for this.	No actions identified at this point.

ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	Fully meets	There are policies and mechanisms for this.	No actions identified at this point.
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Fully meets	The Readers and Profs forum, and Research Staff Forum, and Researchers Network all provide an opportunity through RDG to contribute to policy development, and there is evidence of good engagement. The PIs guide provides guidance as to how PIs can support their research staff in experiential development which includes contributing to policy development	No actions identified at this point.
<b>Researchers must:</b>				
ECR1	Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students	Fully meets	We have set up Research Staff Forum to take this forward	No actions identified at this point.
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	Fully meets	This is a commitment which all staff have to undertake.	No actions identified at this point.
ECR3	Take positive action towards maintaining their wellbeing and mental health	Fully meets	Comprehensive provision, particularly since pandemic started.	No actions identified at this point.
ECR4	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	Fully meets	There are University wide policies and mechanisms for dealing with bullying, harassment, discrimination and research misconduct. The University is focussing on race equality within its new strategy and has recently submitted to the Race Equality Charter and employed a new (interim) Director for Race and Equality.	No actions identified at this point.
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Fully meets	We have set up Research Staff forum to take this forward. There is good evidence of engagement from the convenor and members of the Research Staff Forum. This will be supported and maintained in the coming period through the Researcher Development Group.	No actions identified at this point.
<b>Employment</b>				
<b>Institutions must:</b>				

EI1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	Fully meets	Policies and procedures in place. Anonymised recruitment has recently been launched.	No actions identified at this point.
EI2	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	Working towards	Induction for all staff exists, and this includes components for research. However, more focus could be placed upon induction for contract researchers.	Induction website is in process of being created, and we have created a priority (Priority 3) in our new action plan to focus on induction. Monitoring using CEDARS Q. 20
EI3	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	Fully meets	Policies and procedures in place. Executive level project looking at academic roles and structures is underway. This may lead to some actions once it is completed. Analysis of progression for research staff was undertaken in 2019-21 action plan, this showed that progression does take place from non-permanent to permanent, and up the grade scales particularly for permanent staff. Data covering a 12yr period indicated that 36% of research-staff achieved a permanent contract at some stage of their employ, and all but 14% of these staff achieved a progression in grades from the grade in their first role at the University.	Feed outcomes of data analysis for 2.3 into implementation of action plan. Make public the findings of the data analysis on new careers page for researchers. Noting that the majority (74% in the past 12 years) of research staff will not gain permanent academic or research roles at the University.
EI4	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	Fully meets	Mandatory training for line managers delivered through HR department. In addition, we have just launched leadership cohort programme to complement the HR led training.	Evaluate programme - action is contained within its own action plan, no additional action required within Concordat action plan.
EI5	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	Working towards	We have the hallmarks and leadership attributes which are embedded in PDR for all staff, the PDR includes a specific strand for research staff. Promotion criteria are published, and there are info sessions for Reader and Professor promotions which are recorded for those who can't attend. Workload allocation policy is published. Research staff expressed some concern about the transparency for the research staff route, and whilst some work has been done through the previous action plan, further work is required.	Priority 2 is focusing on the effective PDR.
EI6	Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress	Working towards	The University has a redeployment process - all new jobs must pass through redeployment before advertising more widely. The executive level review of academic roles covers research contract roles.	Actions may arise from the executive level review of academic roles and structures. Related to this obligation we are focusing on careers in Priority 4 of the new action plan.

EI7	Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making	Fully meets	RDG and fora set up for this purpose. See earlier points.	No actions identified at this point.
<b>Funders must:</b>				
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies	Not applicable		
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security			
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression			
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels			
<b>Managers of researchers must:</b>				
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	Fully meets	Mandatory training provision is in place. The PIs guide, completed under the last action plan provides further guidance on how PIs can support their research staff.	No actions identified at this point.
EM2	Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding	Working towards	This is a basic requirement of the workplace and is a feature of our University induction. Nevertheless, we recognise that more could be done to ensure that induction is useful and relevant to contract research staff in particular.	Induction is Priority 3 in our new action plan.
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	Working towards	Policies and procedures in place. Executive level project looking at academic roles and structures is underway. This may lead to some actions once it is completed. Analysis of progression for research staff was undertaken in 2019-21 action plan, recommendations will flow into forward looking action plan.	Current action (2.3) looking at this. Complete this and review at future date.

EM4	Actively engage in regular constructive performance management with their researchers	Working towards	PDR system has researcher strand. Completion rate was 51% in 2020, and there was some dissatisfaction with the process expressed in the pulse survey Dec 2020 and in focus groups.	PDR is Priority 3 in our new action plan.
EM5	Engage with opportunities to contribute to relevant policy development within their institution	Fully meets	We have include Researchers Network, Readers and Professors Forums in RDG for this express purpose. Evidence of engagement in past year.	No actions identified at this point.
<b>Researchers must:</b>				
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	Working towards	This is a basic requirement of the workplace. Its a feature of our induction. Some dissatisfaction has been expressed (see above), and corresponding actions will need to be accompanied by communications that make it clear that the responsibility for a successful induction is shared with their line managers, the instituion and themselves.	Priority 2 Induction
ER2	Understand their reporting obligations and responsibilities	Working towards	This is a basic requirement of the workplace. Its a feature of our induction.	Priority 2 Induction
ER3	Positively engage with performance management discussions and reviews with their managers	Working towards	PDR engagement was 51% in 2020, some dissatisfaction expressed in pulse survey Dec 2020 and in focus groups.	Priority 3 in new action plan concerns PDR.
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	Fully meets	Research Staff Forum is set up for this, and they have associated themselves with the national Research Staff Association	No actions identified at this point.
<b>Professional and Career Development</b>				
<b>Institutions must:</b>				
PCD11	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	Working towards	CROS 19 indicated an average of 2.5 days for specific professional development. However, the University definition is broader, and we have added a special quesiton to CEDARS to capture this data.	Priority 1 in new action plan.
PCD12	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	Working towards	At present this is encapsulated in the PDR process, as there is a question/field for longer term career goals	PDR is Priority 3 and Careers is Priority 4 in new action plan.

PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	Working towards	We have a careers service which is open to researchers. We have careers representation on RDG. However, indications from CROS and focus groups are that support is not sufficient here.	Careers is Priority 4 in new action plan.
PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	Working towards	HR are launching a University wide leadership and management framework. Training is available through R&I Staff Development Programme (RISDP) and the HR led SDP.	Priority 1 concerns ensuring that researchers get appropriate time to develop their research identity and leadership skills.
PCDI5	Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this	Working towards	This is recognised but there is no specific University provision for this, although there are some local practices.	Priority 4 of new action plan concerns careers. The Knowledge Exchange Concordat also provides opportunities for this action.
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	Working towards	We have mechanisms to support this obligation. We undertake CEDARS, and report the outcomes at our University Research and Innovation Committee. PDR completion rates are considered at the Researcher Development Group. However, we are looking to make progress around the 10 days of development time for Research Staff.	See Priority 1 actions. Note CEDARS and PDR completion rates.
<b>Funders must:</b>				
PCDF1	Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning	N/A		
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes			
PCDF3	Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit			
<b>Managers of researchers must:</b>				

PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	Working towards	PDR system and policy with dedicated Researcher track. However, uptake by researchers was only 51% in last round.	PDR is covered in Priority 3 of new action plan
PCDM2	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	Working towards	Some provision is available through careers service. Specific mentoring schemes available e.g. through Themes. Various training provision is available. The University has just launched Qooper to support its mentoring programme. Consultation with PIs as part of developing the PIs guide indicated that more support and training would be welcome here. However, CEDARS Q25 indicates 87% were confident or fully confident. Because of low response rate, we are going to keep a focus in new action plan in this area. Furthermore, a recent webinar on careers attracted nearly 30 researchers, and had really good engagement with the topic.	Careers is Priority 4 in new action plan.
PCDM3	Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development	Working towards	The basic provision is there, however, researchers have told us that they don't get as much support from their PIs as much as they'd like (small nos. in focus groups). CROS 2019 reported that only 22% had 10 days or more. 60% said 3 days or less with 24% saying none.	Priority 1 in new action plan focuses on 10 days being embedded.
PCDM4	Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours	Working towards	see above	Priority 1 in new action plan focuses on 10 days being embedded. Furthermore, Priority 4 focuses on careers.
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	Working towards	New cohort programmes are underway which address this obligation.	No additional actions in Concordat. Will monitor impact of the current cohort programmes.
<b>Researchers must:</b>				
PCDR1	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year	Working towards	CROS 19 indicated an average of 2.5 days for specific professional development. However, the University definition is broader, and we have added a special question to CEDARS to capture this data.	Priority 1 in new action plan.



PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	Working towards	Provision is available through careers service. Specific mentoring schemes available e.g. through Themes, or at faculty level e.g. BaL. Various training provision is available. The University has just launched Qooper to supports its mentoring programme.	Careers is Priority 4 in new action plan.
PCDR3	Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications	Working towards	Provision is available through careers service. Specific mentoring schemes available e.g. through Themes. Various training provision is available. The University has just launched Qooper to supports its mentoring programme.	Careers is Priority 4 in new action plan.
PCDR4	Positively engage in career development reviews with their managers	Working towards	This should take place in PDR, but take up is not as high as we would like, and the pulse survey suggests that the PDR is not meeting the needs of researchers fully.	In new action plan Priority 3 is PDR and Priority 4 is career.
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	Working towards	See above.	PDR is covered in Priority 3 of new action plan
PCDR6	Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation	Working towards	See above. The lead for Knowledge Exchange has presented at the Researcher Development Group, and there is an action with that group to continue to liaise with the KEF and KEC.	PDR is covered in Priority 3 of new action plan. This obligation is covered within the University's response to the KE Concordat and we will also continue to liaise with the lead for KE at the institution and monitor progress.

\* The Concordat defines researchers as individuals whose primary responsibility is to conduct research and who are employed specifically for this purpose by a higher education institution or research institute. The primary audience is research staff, e.g. postdoctoral researchers, research fellows, research assistants. The Concordat encourages institutions to include other groups who actively engage in research as beneficiaries of their Concordat action plan. These could be postgraduate researchers; staff on teaching and research, or teaching contracts; clinicians; professional support staff; technicians.

**The institutional audience\* for this action plan includes (complete or delete, as appropriate):**

**Audience (beneficiaries of the action plan)**

Research staff