

Principle 1 - Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence				
Related Clause	Clause Description	Lead	Original Timescale	Progress as at January 2017 Actions Moving Forward
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.	HR	OM	<p>All Ulster University staff recruitment is based on merit.</p> <p>All members of recruitment panels are required to undertake the Recruitment & Selection Programme provided by HR and those that have been trained must attend refresher training at least every 5 years. There are no exceptions to this regulation which is robustly enforced by HR.</p> <p>During the period 1 January 2014 to 31 December 2016, 216 employees attended the full training course and 257 employees attended the refresher training.</p> <p>A set of Guidance Notes have been developed specifically for Principal Investigators with regard to Recruiting Contract Research Staff. This document is intended to provide further 'research specific' information that reinforces the training provided.</p>
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.	Head of HR Business Partnering Services & Policy	OM	<p>The Recruitment & Selection Process is initiated by the Line Manager completing a Recruitment Requisition which includes a Job Description and Person Specification (JD & PS) that are submitted to and evaluated by HR to ensure the specification of requirement is commensurate with the required role and grade. The University openly publishes a Shortlisting Plan for all vacancies which includes full details of the shortlisting criteria to ensure transparency for all involved in the recruitment process.</p> <p>Moving forward, Ulster will maintain this high standard of recruitment and selection policies and procedures.</p>

1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	Head of HR Business Partnering Services & Policy	OM	<p>All fixed term posts are required to be justified by a 'Purpose and Event' Statement detailing the rationale for the post being fixed term and what is to be achieved within this fixed term. HR will only approve the fixed term post and advertising of same once the 'Purpose and Event' requirement has been satisfactorily met. This practice has been robustly enforced.</p> <p><i>Moving forward, Ulster will maintain these robust procedures.</i></p>
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.	Head of HR Business Partnering Services & Policy	OM	<p>See Note at Clause 1.1 In addition, the University has a protocol for providing feedback to unsuccessful applicants.</p> <p>All Recruitment Panels have at least 3 members with both male and female representatives on all panels.</p> <p>In 2015 a review of the Recruitment and Selection Policy was conducted which determined that the existing policy is robust and fit for purpose.</p> <p><i>Moving forward, the review of the Recruitment and Selection Policy identified the need to ensure that the values outlined in the University's Five and Fifty strategic plan are embedded in selection processes. Now that the Five and Fifty strategic plan has been finalised, work can begin on embedding it in the selection processes.</i></p>
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.	Head of HR Business Partnering Services & Policy	OM	<p>All appointments are made on the University's Single Pay Spine with no exceptions over this 4-year review period.</p> <p>The University also has a protocol for determining starting salaries on the Single Pay Spine which has been robustly enforced over this 4-year period.</p> <p>Ulster has starting salary pro-forma that is completed for each new appointment. This pro-forma is available on request.</p> <p><i>Moving forward, Ulster will maintain this standard.</i></p>
<p>Principle 2 - Researchers are recognised and valued by their employing organisation as an essential part of their organisation's HR and a key component of their overall strategy to develop world-class research (work relevant sections from R&I Strategy)</p>				

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.	Head of HR Partnering Services & Policy	OM	<p>A copy of the University's Researcher CPD Framework was developed in 2012 which incorporated Vitae's Researcher Development Framework with signposting to the relevant sources of Professional Support & Development at Ulster was disseminated to all Research Institute Directors, Heads of Research Graduate School and to Contract Research staff at subsequent Researcher Induction and Campus Fora events. The University undertook research of national and European trends regarding professional researcher development when completing a comprehensive "root and branch" review of its current Researcher Development provision during 2015/16 AY.</p> <p>The outcome of this review was a new motivationally enhanced Professional Researcher Development Curriculum (PRDC), the first iteration of which is currently being implemented across the University for all constituent groups of research staff including our part-time and full-time Doctoral Research Students. Ulster's PRDC has been mapped to VITAE'S Researcher Development Framework.</p> <p>During the last four year's significant action has been taken to improve both the quantity and quality of induction for CRS. In relation to 'local' induction an Induction Checklist has been further developed to improve the quality of the 'local' induction. The checklist is published in a document and must be signed-off by the inductee and their line manager. In order to ensure that induction occurs in all cases the signed checklist must be returned to the Human Resources Department who have put in place procedures to issue reminders until all checklists are completed and returned. In addition to the 'local induction' the University also has an online corporate induction.</p> <p>Moving forward, the first opportunity Ulster will have to monitor staff participation and satisfaction with this will be the CROS Survey 2017.</p>
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	Head of HR Partnering Services & Policy	OM	<p>The University actively promote their policy: <u>'Guidance on Consultation on Fixed Term Contract which are due to end and redeployment.'</u></p> <p>In March 2014 the University reviewed the eligibility criteria and expanded the range of jobs on the Redeployment Register. For instance,</p>

	Employees (Prevention of less Favourable Treatment) Regulations (2002) and JNC for HE staff guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations			<ul style="list-style-type: none"> Previous eligibility criteria: During the first three months on the register re-deployees are only eligible for redeployment to permanent post. During the final three months they can apply for both permanent and fixed-term redeployment opportunities. New eligibility criteria: re-deployees can apply for both permanent and fixed-term redeployment opportunities for the full six months. <p>During the period 1 January 2015 to 31 December 2016, 24 contract research posts were filled via a Redeployment Register trawls.</p> <p>Moving forward, Ulster will continue to monitor this.</p>
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 how effectively this supports good research management	<p>Head of Staff Development</p> <p>Working Group</p> <p>Head of HR Business Partnering Services & Policy</p> <p>Concordat Implementation Coordinator</p>	July 2017	<p>Developmental Appraisal Forms were specifically tailored for Contract Research staff in 2013.</p> <p>Moving forward, the successful implementation of Ulster's Research & Impact Strategy, 2016-2021 will be dependent on our researchers having a clear understanding of what it is that makes a good researcher, having the data to hand which demonstrates this and mapping everyone's achievements over the course of the strategy. Ulster will have ambitious expectations set and agreed for the institution as a whole, for every Research Institute within the institution, and for every researcher working within a Research Institute. The University will ensure reliable, accurate and timely reporting and monitoring of research and impact performance against the appropriate indicators.</p> <p>Appropriate targets will be agreed at individual, research institute and institutional levels and performance against these targets will be monitored on a regular basis. At an individual level targets will be set for research funding, research outputs, research impact and PhD supervision and completions. Expectations for each staff member will take into account benchmarked comparisons and vary according to discipline, staff circumstances and career level.</p> <p>Action: A blended Principal Investigator: Leadership & Management Development Programme will be delivered on each Campus (4) commencing spring 2017</p>

				<p>(incorporating facilitation of effective Induction and Developmental Appraisal Review (DAR) along with a comprehensive Guidance e-book.</p> <p>Action: Ulster is creating an Associate Dean (Research & Impact) role for each of the 4 faculties. These appointees will work with the PVC (Research and Impact) in relation to their Faculty's contribution to the overall targets in the Five & Fifty Strategic Plan.</p> <p>These appointments illustrate the importance Ulster is placing on Researcher Development. The Associate Deans will develop and deliver the Faculty level researcher development programme for both PhD students and research staff and will contribute to the university level researcher development programmes, events and activities.</p> <p>The Associate Deans will also develop and deliver research and impact performance targets and metrics.</p>
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 this objective.	Head of Employee Relations Working Group	OM	<p>The redeployment register is the principle vehicle for providing an opportunity for continuity for those employed on contracts.</p> <p>Moving forward, the redeployment register will continue to provide opportunities for continued employment. Bridging funding arrangements are reviewed on a case by case basis where there is a reasonable expectation of continuation funding.</p>
2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant	Head of Employee Relations	OM	<p>The University's Recruiting Contract Research Staff Guidance Notes for Principal Investigators stipulates: 'Incremental credit can be given based on years of comparable work up to the maximum salary advertised. To ensure consistency across the University, years of</p>

	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.			comparable service is the only factor considered in determining the level of incremental credit.' Ulster has a starting salary pro-forma that is completed for each new appointment all Contract Research Staff qualify for annual increments (however some research funders do not permit this (small number of cases). Moving forward, this policy will be maintained.
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.	Department of Research & Impact CRS Concordat Coordinator	Strategy launches Spring 2017 Reviewed annually	The Research priority of Ulster's Five and Fifty strategy places Researcher Development as a key objective within the strategy. This is mirrored in the Research & Impact Strategy, 2016-2021, 'Shaping Your Future', which places researchers front and centre of the strategy with key objectives to recruit, retain and reward the very best people. Supporting actions include internationalisation opportunities, start-up research funding opportunities and the bespoke RIGOUR programme for researcher training and development. The recent Research Communications initiative provided an opportunity for researchers to promote both their research successes and the development of their research careers: https://www.ulster.ac.uk/research/our-research/researchers
Principle 3 - Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment				
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	Head of Staff Development	OM	Ulster has established a new permanent job category of Scientific Officer/Assistant which has recently been utilised by the University's School of Biomedical Science. This new category of staff is intended to open an 'career pathway' for contract research staff. It is often described as a hybrid between an academic post, a contract research post and a technical post. The role of Scientific Officer is focused on research activity and Scientific Officers operate as independent researchers. It is a permanent position which helps provide increased employment stability. To date there have been 4 of these appointments. Doctoral candidates and Contract Research Staff are actively encouraged and supported to access the new motivationally enhanced Professional Researcher Development Curriculum (PRDC) which incorporates 4 Developmental Pathways

	that they provide career development which is comparable to, and competitive with, other employment sectors.			designed to develop the Researcher's capacity as an Investigator, Innovator, Educator and Leader, thereby enhancing their mobility and career development
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.	Head of Employment Relations	OM	Ulster is committed to the career development of its research staff and the most senior grade to which Contract Research Staff can be promoted is Professor (e.g., a Professor of Real Estate and Urban Studies within the School of the Built Environment is a CRS). Additionally, the PVC for Research & Impact at Ulster commenced her career as a CRS.
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.	CRS Concordat Coordinator Staff Development	Strategy launches Spring 2017 Reviewed annually	<p>The University's Professional Researcher Development Curriculum (PRDC) incorporates research techniques and management skills and professional transferable skills designed to develop the capacity of researchers to be an Investigator and/or Educator and/or Innovator and/or Leader be effective in a range of organisational contexts. This curriculum is implemented via a Central "Hub" & Faculty "Spoke" Infrastructure.</p> <p>The two voluntary accreditation options offered to doctoral candidates within the University PRDC include an ILM Level 5 Award in Leadership & Management and/or Associate Fellow of the Higher Education Academy (AFHEA), UKPSF Professional Recognition.</p> <p><i>Moving forward, as a result of its Research & Impact strategy, Ulster will make investment to provide a world class research environment in which our research staff will flourish. Ulster will continue to enhance their skills and provide them with the tools and flexibility necessary to respond to the opportunities and demands of a globally-engaged research-led university.</i></p>

3.4	All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.	Staff Development Career Development Team	Strategy launches Spring 2017 Reviewed annually	<p>All of Ulster's research staff have access to the services of the Department for Employability and Marketing. This department contributes to the experience of Ulster University's early career researchers by supporting the development of their employability in line with Ulster's Five and Fifty strategy. The Department provides a range of bespoke workshops, online and hardcopy resources alongside one-to-one professional impartial coaching and guidance support http://employability.ulster.ac.uk/doctoresearchers. The purpose of this programme of support is to help broaden their awareness of employment prospects not just within their discipline but other fields and sectors.</p> <p>These bespoke workshops are offered on a range of topics such as;</p> <ul style="list-style-type: none"> • Strategically planning your career • Adding value to your doctoral training • Showcasing your professional research skills: practising the interview • Interview skills – developing strategies and confidence • Professional cvs and application • Getting an interview with industry: Application strategies • Planning an academic career: what you need to succeed. <p>These career management workshops contribute to the Researcher Development Programme run by the Staff Development Unit. These workshops are open to both doctoral and contract researchers. The following number of researchers participated in workshops since 2014.</p> <ul style="list-style-type: none"> • 151 in 2014 • 146 in 2015 • 199 in 2016. <p>Early careers researchers have the opportunity to meet employers within these workshops and also as part of sector specific recruitment fairs that are run by the department in November across all campuses along with the NI Graduate Recruitment Fair run annually in June each year.</p> <p>Moving forward, as a result of its Research & Impact strategy, Ulster will make investment to provide a world class research environment in which our research staff</p>
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3.5	<p>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.</p>	Staff Development	<p>RIGOUR Programme is ongoing</p> <p>Excellence in Research Outputs and Research Impact will commence Spring 2017</p>	<p>See 2.6 above and 3.4 above which outline the services available to research staff at Ulster.</p> <p>Moving forward – as Ulster moves towards individual expectations the Department for Research & Impact wants to ensure that our researchers have the necessary tools and skills they need to meet these expectations. Ulster will continue to develop and deliver its bespoke Research Income and Grant Opportunities for Ulster Researchers (RIGOUR) highly successful RIGOUR programme and we plan to launch training programmes to support excellence in Research Outputs and Research Impact. This will launch March 2017.</p> <p>Sessions in the Outputs Programme will include:</p> <ol style="list-style-type: none"> 1) REF standards and how they are applied: Professorial Masterclass 2) Demonstrating the novelty, rigour and significance of your research 3) What is an internationally excellent or world-class paper? 4) Defining the field: publishing your monograph 5) Excellence in creative practice research <p>The Impact Programme will include the following sessions:</p> <ol style="list-style-type: none"> 1) Introduction to research impact 2) Developing your impact strategy 3) How is impact evaluated and recorded 4) Social media for researchers
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.	<p>CRS Concordat Coordinator</p> <p>Staff Development</p>	January-July 2017	<p>All new staff either new to role or new to the University are advised of the University's Induction provision via their letter of appointment from HR.</p> <p>Induction provision for all University staff includes a Local Induction Programme coordinated by the Line Manager of the staff member. Line Managers receive guidance as to how to coordinate an effective Local Induction and are required to complete a Local Induction Checklist in partnership with the new member of staff.</p>

	<p>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.</p>		<p>The staff member also has access to an Online University Welcome & Orientation Programme which also includes a menu of online mandatory training programmes where appropriate including Health & Safety and Equality and Diversity Awareness Programmes. New staff members will in addition be provided with a Role Specific Induction i.e., Academic Induction, Researcher Induction, New Manager Induction or Course Director Induction. Role Specific Induction Programmes are scheduled each Semester. Table 1 below provides a summary Ulster Research staff participating in Induction activities.</p> <p>Table 1: Ulster University Research Staff – Induction Activity (2013/14-15/16)</p> <table><tr><th>Academic Year</th><th>Welcome & Orientation Online Programme</th><th>Research Induction</th><th>PgCHEP Programme Induction</th></tr><tr><td>2013/14</td><td>27</td><td>9</td><td>11</td></tr><tr><td>2014/15</td><td>36</td><td>28</td><td></td></tr><tr><td>2015/16</td><td>44</td><td>*Explanatory note 1</td><td>*Explanatory note 2</td></tr></table> <p>*Explanatory Note 1 Decision taken in 2015/16 that the Local Induction Provision and University Online Welcome & Orientation Provision were adequate</p> <p>*Explanatory Note 2 PgCHEP Programme Induction and Teaching aspect of former Academic Induction both incorporated in revalidated PgCHEP Programme with effect in 2015/16AY</p> <p>In relation to Continuous Professional Development, Ulster promotes the following 2 Online Programmes to all research staff:</p> <ul style="list-style-type: none">• Ulster University Doctoral Researcher Supervision Programme• Professional Skills for Research Leaders <p>All our open leadership and management, “technical”, health & Safety and personal effectiveness professional development programmes, conferences, events may be accessed by all staff and are promoted either via our website and/or global all staff emails.</p>	Academic Year	Welcome & Orientation Online Programme	Research Induction	PgCHEP Programme Induction	2013/14	27	9	11	2014/15	36	28		2015/16	44	*Explanatory note 1	*Explanatory note 2
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				<p>Moving forward, an enhanced Research Environment Framework was developed and agreed by representatives from each of the constituent research groups involved in the Ulster University's Enhancing the Research Environment Organisational Development & Change Management Transition Project looked specifically at this and the recommendations from this are embedded the Research & Impact Strategy 2016-2020. The Research Environment section of this Strategy asserts that Ulster is committed to enhancing the environment for research staff and research students at Ulster as a catalyst for improving the quality and volume of staff research outcomes. Specific initiatives to deliver enhanced staff experience include the introduction of a robust sabbatical policy, the reintroduction of the Research Challenge Fund, the establishment of a Researcher Development Portal, an international approach taken to the recruitment of all new academic staff at all levels and the introduction of a Distinguished Research Impact Awards Scheme.</p> <p>Ulster is exploring the development of a</p> <ul style="list-style-type: none"> • 2-day Leading & Managing Effective Research Project Teams Development Programme for new Principal Investigators; and • 1-day programme for experienced Principal Investigators. <p>These programmes may include</p> <ul style="list-style-type: none"> • Facilitating Effective Local Induction; • Personal Development Planning (to ensure all project team members are aware of the performance expectations of the project from the onset and to identify what support/development they may need to meet these expectations); and • Effective Project Management. <p>The Vice-Chancellor has established a Senior Leadership Forum which includes an annual residential to ensure cross university communication to achieve strategic goals. A model for individual expectations has been developed that connects strategic goals through to performance of individuals. As a first step, a model for individual targets and expectations for Units of Assessment will be initiated AY 2017/18.</p>
3.7	Employers and funders will wish to consider articulating the skills that	Staff Development	OM	The research undertaken to inform the University's current Professional Researcher Development Curriculum involved the identification of the core skills and capacity

	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.			<p>required of professional researchers working in a range of organisational contexts/environments. Projects/Initiatives will be created where possible both within the University and with employers and funders to provide opportunities for researchers to acquire and apply their professional researcher skills. An example of such an Initiative within Ulster may involve Early Career Researchers teaching research methods to undergraduate students and developing online learning materials or coordinating research showcasing platforms/events.</p> <p>All research staff may access Coaching & Mentoring Development Opportunities within the university.</p> <p>Moving forward, the principle vehicle for identifying these development opportunities is through the Development Appraisal Review.</p>
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.	Staff Development	OM	<p>The Researcher Induction Programme and Strategic Professional Researcher Development Planning Workshop actively encourages and enables researchers to assume personal responsibility for accessing professional development opportunities that will make them more employable and provides access to a range of mentors including peer mentors both within and outside the University. Mentoring is currently provided for: Aurora Programme participants, RIGOUR Programme participants (Peer Review of Research Funding Applications), staff developing UKPSF Professional Recognition submissions and Post Graduate Teaching Assistants and staff during their academic probation.</p> <p>The recent RIGOUR programme has proven both successful in quality and popular in terms of demand from the research community. To date the following workshops have been delivered since September 2016 with 182 attendees –</p> <ul style="list-style-type: none"> • How to Communicate your research more effectively • Preparing your Proposal - Marie Curie Workshop • Writing Successful, High Impact Grant Proposals x 2 workshops due to demand for and quality of workshop • Applying for a European Research Council Grant <p>Moving forward, the following workshops are planned and are all fully subscribed:</p>

				<ul style="list-style-type: none"> • Writing the Case for Support, Costing an Application and Justification of Resources • Grant Writing for Health Care Workshop • Impact – How to Make Some • Now you have a research grant – what next? • Enhancing and Managing your Research Networks British Heart Foundation Research Grant Funding Opportunities • Which Funder for You? <p>Full details about the programme can be found at: https://internal.ulster.ac.uk/rigour/</p>
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.	Department for Research & Impact	Jan – July 2017	<p>All research staff at Ulster have equal access and opportunity to avail of staff development professional provision.</p> <p>Moving forward, Ulster will be pursuing the new researcher development programmes developed in 2015 for both doctoral students and also for research active staff. Ulster is committed to ensuring that contract researchers have access to, and avail of, researcher development programmes, including those specific to their roles and future careers, and will be providing guidance and encouragement to contract researchers and their supervisors in early 2017.</p>

Principle 4 - The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages in their career				
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	Staff Development	July 2017	<p>The University's current Developmental Appraisal Review (DAR) Scheme is available for all staff including staff on fixed-term contracts from grades 1-9 A Professorial Band Scheme exists to support and evaluate the progress and performance of Professors. The purpose of DAR is to provide staff with an opportunity to agree their Key Responsibilities/Objectives and the support/development required to enable the achievement of these agreed Key Objectives.</p> <p>Moving forward, University's Five and Fifty strategic plan, places significant emphasis on the importance of creating a 'step change' in how the University deals with performance improvement. The University intends to develop performance frameworks and significantly enhanced performance and development appraisal process. The University is in the process of appointing a Director of People and Culture and this will be a key task for the Director.</p>
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	Staff Development	OM	See 4.3 below
4.3	Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure	Staff Development	OM	All Doctoral Candidates and Early Career Researchers prior to assuming teaching and/or demonstrating responsibilities with Ulster University are required to attend the Post Graduate Teaching Assistants (PGTA) 1 Day Programme.

	broad recognition of CPD Schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another			<p>Doctoral Candidates and Contract Research Staff may in addition access the <i>PGCHEP Module: Enhancing Learning at Ulster</i>. Successful completion of this module leads to UKPSF (D1) Professional Recognition and Associate Fellowship of the Higher Education Academy (AFHEA). UKPSF is and will continue to be a big issue for Ulster.</p> <p>Table 2 below provides a summary of Ulster University Research Staff & Doctoral Candidates Awarded PgCHEP and HEA/UKPSF Professional Recognition</p> <table><tr><th>Awarded PgCHEP Certificate & Fellow of Higher Education Academy Membership (FHEA)</th><th>Completed <i>First Steps To Teaching in HE Programme</i> & Awarded Associate Fellow of Higher Education Academy (AFHEA) Membership</th><th>Awarded PgCHEP Module PHE 705 and Associate Fellow of Higher Education Academy (AFHEA) Membership</th><th>Attended PgCHEP Module PHE 702</th></tr><tr><td>2012 - August 2016</td><td>All Doctoral Candidates</td><td></td><td></td></tr><tr><td>12</td><td>2012 34</td><td></td><td></td></tr><tr><td></td><td>2013 36</td><td></td><td>2013/14AY 6</td></tr><tr><td></td><td>2014 46</td><td></td><td>2014/15AY 7</td></tr><tr><td></td><td>2015 11 * See Explanatory Note 1</td><td>2015/16AY 28</td><td>2015/16AY 4</td></tr></table> <p>Explanatory Note 1: First Steps to Teaching in HE Programme incorporated in revalidated PgCHEP Programme – Module PHE 705 with effect from 2015/16AY</p>	Awarded PgCHEP Certificate & Fellow of Higher Education Academy Membership (FHEA)	Completed <i>First Steps To Teaching in HE Programme</i> & Awarded Associate Fellow of Higher Education Academy (AFHEA) Membership	Awarded PgCHEP Module PHE 705 and Associate Fellow of Higher Education Academy (AFHEA) Membership	Attended PgCHEP Module PHE 702	2012 - August 2016	All Doctoral Candidates			12	2012 34				2013 36		2013/14AY 6		2014 46		2014/15AY 7		2015 11 * See Explanatory Note 1	2015/16AY 28	2015/16AY 4
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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	CRS Concordat Coordinator HR Business Partner responsible for research policy	OM	<p>All constituent groups of researchers were represented within the Enhancing the Research Environment Organisational Development & Change Management Transition Project Membership.</p> <p>University Committees & Working Groups include representatives from the appropriate constituent groups of research staff including doctoral candidates and ECR's.</p> <p>The main formal mechanism for this monitoring has been through two university level committees, the HR Research Forum and the Research Concordat Steering Group, which meet on an annual basis.</p> <p>Moving forward, the Research & Impact Committee will be Ulster's committee with authority for these issues. This committee reports to the University's Senate.</p> <p>The Concordat and HR Excellence in Research will be a standing item at each meeting of the Research & Impact Committee and the minutes of these meetings will be provided to Senate. Senate will provide governance of the strategic goals and progress against their achievement including retention of HR Excellence in Research.</p>
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement	Head of HR Business Partnering Services & Policy Policy & Implementation Unit	OM	<p>At recruitment, the HR Business Partners confirm the Academic Probation Mentor arrangements with the Chair of the respective Appointment Panel. The mentoring arrangements are monitored by the CROS survey.</p> <p>Ulster offers mentoring to newly appointed academic staff http://ee.ulster.ac.uk/staffdevelopment/docs/3478MENTORING_LEAFLET-7-2015.pdf; Mentoring arrangements are agreed at recruitment. (The HR Business Partners confirm the Academic Probation Mentor with the Chair of the respective Appointment Panel). The success of the mentoring partnerships are monitored by the CROS survey.</p> <p>Mentoring is also offered to staff seeking Fellowship of HEA. To date 18 female members of staff have/are participating in mentoring through the Aurora Programme</p>

				<p>and another mentoring pilot scheme FAME (Female Academic Mentoring Engagement) ran from March 2015 to March 2016. The main aim of the mentoring scheme was to facilitate positive changes in knowledge, work, thinking and/or understanding for women in STEM subjects.</p> <p>Moving forward, the Research & Impact Strategy 2016-2021 outlines support for newly appointed staff, especially ECRs who will be provided with assistance from senior administrative staff from the Department for Research and Impact to provide support for their grant applications and subsequent project management, research engagement and public engagement.</p>
Principle 5 - Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning				
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	Department for Research & Impact	<p>Funding will be available from Spring</p> <p>Academic Year 17/18</p>	<p>All research projects (including doctoral duties) are designed to advance the knowledge and independent critical thinking capacity of researchers at Ulster. In addition to the professional researcher development opportunities provided by the Central Hub, the development/enhancement of discipline specific knowledge and/or research methodologies is supported within the respective Faculties.</p> <p>Moving forward, the Research and Impact Strategy 2016-2021 will provide start-up research funding packages and researchers will be incentivized to work across the four research themes at Ulster (Social Renewal, Sustainability, Healthy Communities, Creativity and Culture) and develop insights into the work of other disciplines.</p>
5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy-making and commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.	Department for Research & Impact	Present – July 2019	<p>Maximising the impact of Ulster's research is a key aim of the Knowledge Exchange Strategy 2016-2019, which governs Ulster's innovation actions as funded via the Department for the Economy's Higher Education Innovation Fund. As part of the Knowledge Exchange Strategy, research impact will be promoted by the provision of research impact support funding to Research Institutes, support will be provided for the definition of research impact pathways within grant proposals and the technology commercialisation section of the Department for Research & Impact will manage and develop commercial outcomes from Ulster's research. Integrated Review & Discovery teams will be established comprising Research Institute members and Department for Research & Impact staff tasked with selecting and reviewing impact case studies, developing pathways to impact and supporting the evidence gathering strategies</p>

				for case studies. Furthermore, we will continue to exchange knowledge with business and the wider community through a range of knowledge transfer initiatives. We will target businesses within and outside Northern Ireland that align with our strategic research themes to match research expertise to help solve industry problems.
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.	Department for Research & Impact	OM	<p>Ulster expects the highest standards to be observed by its researchers, and recognises integrity as an essential aspect of research quality. The University seeks to promote and disseminate good research practice, emphasising integrity and rigour in research.</p> <p>Moving forward, Ulster will continue to foster a culture in which the adherence to research governance and ethics principles and procedures is encouraged, supported and valued, reflecting the requirements of governments and funders in Northern Ireland and internationally.</p> <p>Ulster will continue to encourage and support research integrity through a network of staff and a framework of policies, procedures and guidance. These are summarised and illustrated in the Code of Practice for Professional Integrity, which will be updated regularly to reflect changing sector-wide requirements.</p> <p>Appropriate training will be provided for staff and students in the overarching precepts of integrity and the ethics of research and also, where appropriate, in the specifics of an increasingly regulated environment.</p> <p>Compliance will be assured and measured through a series of appropriate publications, review processes, training events and audits.</p>
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	Staff Development Department for Research & Impact	OM	University's Professional Researcher Development Curriculum (PRDC) actively promotes and enables researchers to develop their skills and capacity to work as Investigators, and/or Educators, and/or Innovators, and/or Leaders in a range of organisational contexts and sectors.

	achievements which they displayed to reach that position.			
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	Staff Development Department for Research & Impact	July 2017	<p>Training needs will be identified through annual appraisals.</p> <p>The Personal Research Development Curriculum will provide the opportunity for researchers to strategically develop their capacity as investigators and/or innovators, leaders or educators.</p> <p><i>Moving forward – the Working Group will consider if Resources will need to be committed to develop both the PRDC (i.e., both higher level programmes and online resources) and additional facilitation for face to face interventions for all levels of researcher development across the university.</i></p>
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	Staff Development	Spring 2017	<p>Ulster is committed to providing a comprehensive research informed PRDC for all full-time and part-time Doctoral Candidates who are entitled to accessing 180 hrs (pro rata) of PRD provision each year.</p> <p>E-books providing overviews of Ulster's Professional Researcher Development Curriculum (PRDC) have been disseminated to all Research Leaders i.e., Pro-Vice-Chancellor of Research & Impact, Director of Research & Innovation, Research Institute Directors, Heads of Research Graduate Schools, Supervisors and Principal Investigators within the University.</p> <p>The current iteration of Ulster's PRDC includes the following 7 Learning Pods which may be accessed at an appropriate time by all Research Staff especially Doctoral Candidates and Contract Research Staff.</p>

	be presented to current and future employers as appropriate.			<ul style="list-style-type: none"> • Planning for Tomorrow • Learning to Succeed • Methods for Researching • Learning to Comply • Teaching to Develop • Designing to Communicate • Learning to Lead <p>Each Doctoral Candidate receives a print out of their Researcher Professional Development Profile i.e. a Statement of PD Activity undertaken during their doctorate study.</p> <p>Moving forward, the Research & Impact Strategy upholds the importance of researcher development and will seek to raise awareness and clarity on what it is to be a great Ulster researcher so that each colleague understands the personal expectations to realize their ambitions.</p> <p>See also 3.6 above</p>
Principle 6 - Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers				
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 under-	Policy & Implementation Unit (Equality)	OM	<p>This UK legislative framework referred to in 6.1 appears to be the 'Equality Act 2010', which applies only to GB institutions. As a designated public authority in Northern Ireland we must have in place and comply with our Equality Scheme. We must also have a Disability Action Plan. However, we also have separate legislation which outlaws discrimination on the basis of age, disability, sex, sexual orientation, race and religious belief/political opinion.</p> <p>https://www.ulster.ac.uk/aboutus/governance/equality-diversity/equality-scheme</p>

	representation or lack of progression.			
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.	Policy & Implementation Unit (Equality)	OM	<p>Ulster University's recruitment and retention policies operate on the principle of meritocracy.</p> <p>Ulster's commitment to equality is articulated in its Equality Scheme and Equal Opportunities Policy. The Equality Scheme addresses equality issues in relation to gender, marital status, religious belief, political belief, race, age, disability, sexual orientation, and responsibility for dependents. Gender and race are just two of the dimensions of diversity that we prioritise at Ulster University. Ulster University is highly committed to the principles that underpin the Athena SWAN Charter. Ulster University commits to all departments achieving bronze awards and to subsequent progression to Silver Award. The University will continue to fund staff to participate in the Aurora leadership development programme, with 8 people participating in 2016/17. A three-year Action Plan aimed at supporting and developing the careers of women in STEM has been in place since 2014.</p>
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.	Policy & Implementation Unit (Equality)	OM	<p>Ulster University actively promotes and support flexible working with both "local" and institutional active commitment to the Athena Swan Charter (See section 6.10 below)</p>
6.4	Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research	HR	OM	<p>Ulster's commitment to equality is articulated in its Equality Scheme and Equal Opportunities Policy. The Equality Scheme addresses equality issues in relation to gender, marital status, religious belief, political belief, race, age, disability, sexual orientation, and responsibility for dependents. Gender and race are just two of the</p>

	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.	Policy & Implementation Unit (Equality)		<p>dimensions of diversity that we prioritise at Ulster University. Ulster’s commitment to equality is upheld in the following policies. Further detail on all of Ulster’s related policies can be accessed at:</p> <p>http://www.ulster.ac.uk/hr/policies_and_procedures/</p> <p>Implementation of these policies is monitored through the bi-annual CROS Survey</p> <p>Moving forward, Ulster will continue to participate in the CROS survey.</p>
6.5	It is important for employers to respond flexibly to requested 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			Please see 6.4 above
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 provision of additional funding and duration of grant to cover paternity and adoptive leave as well as			Please see 6.4 above
6.7	Employers should aim for a representative balance of gender,	HR	OM	<u>Recruitment & Selection</u>

	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.	Policy & Implementation Unit (Equality)		<p><u>Job Advertising Guidelines</u></p> <p>HR training for Recruitment Panels is mandatory for all staff involved in recruitment and this training includes equality.</p> <p>Recruitment and Selection Policy has been through a robust Equality Assessment Process to ensure that it provides equality of opportunity.</p> <p>Ulster's Policy & Implementation Unit provide opportunities by encouraging everyone to apply for opportunities. All policies are equality proofed to ensure that they don't directly or indirectly advantage or disadvantage any particular group. All of these circumstances listed are considered with the exception of English as a first language.</p>
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that			Please see 6.4 above

	directly or indirectly disadvantage such groups.																											
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.	Policy & Implementation Unit (Equality)	OM	<p>See resources on Ulster’s dignity at work webpage: http://www.ulster.ac.uk/secretary/policyimplementation/policies/dignityatwork.html</p> <p>In particular Bullying & Harassment (Dignity at Work) policy http://www.ulster.ac.uk/secretary/policyimplementation/policies/b_&_h_policy.pdf</p> <p>Training is provided for staff and students who sit on Bullying and Harassment Investigation panels.</p> <p>Policy developed by working group in 2010 and due for renewal. Evidence shows that complaints are dealt with appropriately and in confidence. Ulster has Bullying and Harassment Advisors and mediation (trained by ACAS) for</p> <ol style="list-style-type: none">1. Complaints against staff2. Complaints against students																								
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.	Policy & Implementation Unit (Equality)	OM	<p>Ulster is highly committed to the principles that underpin the Athena Swan Charter and currently holds the Bronze Award and will work towards obtaining the Silver Award. Table 3 below provides a summary of the Schools at Ulster that currently hold an award and those that are either preparing an application or are committed to preparing an application.</p> <p>Table 3 – Ulster Schools holding Athena Swan Award or preparing/committed to submitting applications</p> <table><tr><th>STEM School</th><th>Status</th><th>Submission Date</th><th>Award Level</th></tr><tr><td>Nursing</td><td>Award attained</td><td>April 2015</td><td>Bronze</td></tr><tr><td>Engineering</td><td>Award attained</td><td>November 2015</td><td>Bronze</td></tr><tr><td>Computing and Intelligent Systems</td><td>Award attained</td><td>November 2015</td><td>Bronze</td></tr><tr><td>Health Sciences</td><td>Award attained</td><td>April 2016</td><td>Bronze</td></tr><tr><td>Biomedical Sciences</td><td>Preparing for submission</td><td>TBC</td><td>Bronze</td></tr></table>	STEM School	Status	Submission Date	Award Level	Nursing	Award attained	April 2015	Bronze	Engineering	Award attained	November 2015	Bronze	Computing and Intelligent Systems	Award attained	November 2015	Bronze	Health Sciences	Award attained	April 2016	Bronze	Biomedical Sciences	Preparing for submission	TBC	Bronze
STEM School	Status	Submission Date	Award Level																									
Nursing	Award attained	April 2015	Bronze																									
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Computing and Intelligent Systems	Award attained	November 2015	Bronze																									
Health Sciences	Award attained	April 2016	Bronze																									
Biomedical Sciences	Preparing for submission	TBC	Bronze																									

			July 2017	Psychology	Preparing for submission	TBC	Bronze
				Computing and Mathematics	Preparing for submission	TBC	Bronze
				Environmental Sciences	Preparing for submission	November 2016	Bronze
				Sports	Preparing for submission	April 2017	Bronze
				Pharmacy and Pharmaceutical Sciences	Preparing for submission	April 2017	Bronze
				Built Environment	SAT established	Date not agreed	Bronze
				Architecture and Design	SAT not established	Date not agreed	Bronze
				Ulster continues to fund staff to participate in the Aurora Leadership Development Programme, with 8 people participating in 2016/17. A three-year Action Plan aimed at supporting and developing the careers of women in STEM has been in place since 2014.			
Moving forward, Ulster will be applying for a Race Equality Award, July 2017.							
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							
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.	Working Group PVC R&I Concordat Coordinator	Reviewed quarterly Aligned to R&I Committee quarterly meetings	Ulster University's commitment to the implementation of the Concordat Principles is evident in its success in obtaining the HR Excellence Award in 2012 and ongoing commitment to obtaining this Award again in 2017. Ulster's adherence to Concordat Principles is evident by reflection (improved satisfaction levels in CROS Survey) and action (implementation of strategic and operational activities to enhance CRS experience). Moving forward, the reenergised HR Research in Excellence Working Group and the Focus on supporting, developing, and recognising People in our strategic plans will provide greater clarity on what it means to be a great Ulster researcher and how we will grow our research talent base. The Working Group is/will be represented at a participatory level at VITAE			

				<p>conferences and best practice recommendations are/will be reported back to the Working Group. For example, the Researcher Development Lead presented the implemented model at Vitae's International Conference in Manchester 2016 (interactive workshop).</p> <p>Ulster is committed to ensuring that the quality of researcher development at Ulster is at the highest international level with all CRS at Ulster eligible and encouraged to participate in the most recent researcher development activities and those which follow. The introduction of the Our Researchers section on https://www.ulster.ac.uk/research/our-research/researchers is not only a showcase of our quality researcher development experience but it also promotes Ulster as an attractive university to internationally recruit the best available talent.</p>
7.2	7.2 The signatories agree to (a) to (e) a)			
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			

7.4	<p>The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.</p>	<p>Staff Development</p> <p>Working Group</p>	OM	<p>Ulster has developed its own Professional Researcher Development Curriculum (PRDC) which actively promotes and enables researchers to develop their skills and capacity to work as Investigators, and/or Educators, and/or Innovators, and/or Leaders in a range of organisational contexts and sectors. This has been mapped against the VITAE app.</p> <p>The Working Group is/will be represented at a participatory level at VITAE conferences and best practice recommendations are/will be reported back to the Working Group. For example, the Researcher Development Lead presented Ulster's PRDC implementation model at Vitae's International Conference in Manchester 2016 (interactive workshop).</p> <p>Moving forward, the Concordat and HR Excellence in Research will be a standing item at each meeting of the Research & Impact Committee and the minutes of these meetings will be provided to Senate. Senate will provide governance of the strategic goals and progress against their achievement including retention of HR Excellence in Research.</p>
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