

**HR Excellence in Research
Gap Analysis and Action Plan Eight-year review, May 2020
Progress UPDATE summer 2022**

Time frames and success measures for actions are stated clearly whenever possible.

Actions that formed a key focus of our strategy for 2018-2020 (see supporting statement) have a blue background

Actions that were complete in 2018 are highlighted in brown

New actions that were proposed in 2020 are highlighted in purple

A list of abbreviations is given at the end of this document

Action related to Concordat clause numbers	Background to, and description of, action defined in 2018 gap analysis and action plan. Action (A); Lead(s) (L); Success measures (S)	Progress reported at the 2020 review and comments	Strategy 2020-2022 Action (A), with timeline; Lead(s) (L); Success measures (S) 'SMART' whenever practicable	Progress since 2020 review and comments
1.2 6.1-6.3 6.7 7.5	<p>Action 1</p> <p>We continue to embed and develop practice and policies in order to work towards application for the Race Equality Charter Mark</p> <p>A: We will apply for the Race Equality Charter Mark in December 2020.</p> <p>L: Professor Anne-Marie Kilday, PVC Staff Experience, head of SAT.</p> <p>S: Award of the Race Equality Charter Mark.</p>	<p>We have made good progress in our action plan for application for the Race Equality Charter Mark</p> <p>https://www.ecu.ac.uk/equality-charters/race-equality-charter/, and feedback suggests that we will be in a strong position to sign up to the Charter in summer 2020, with a view to application in summer 2022.</p>	<p>Updated Action 1</p> <p>A: We will sign up to the Race Equality Charter in July 2020 and apply for the Charter mark in July 2022.</p> <p>L: Professor Anne-Marie Kilday, PVC Staff Experience, Head of SAT.</p> <p>S: Oxford Brookes is a signatory to the Charter, and is awarded the Race Equality Charter Mark.</p>	<p>Signing up to the Charter was delayed because of COVID. However, we became a signatory in October 2021, and as the process is now a five-year one, not a three-year one, we will submit our application for the Charter Mark before October 2026.</p> <p>Our progress against our Race Equality Charter action plan is going well. We completed all of the proposed actions for 2020-2021 despite the pandemic, and we are on course to do the same in this academic year.</p>
2.1-2.3 2.6 3.1-3.3 3.6-3.9 4.10 4.12	<p>Action 2</p> <p>In 2014 the Faculty of Health & Life Sciences developed a policy document and procedures to advise managers of research teams regarding performance management,</p>	<p>100% of Research Managers reported that they have adopted the policy document, and are either using it, have embedded this information in Faculty research web pages, or talk researchers through the post-award process in person.</p>		<p>ONGOING WORKSTREAM: ACTION CARRIED FORWARD</p>

<p>4.13 5.2 5.5 5.6</p>	<p>including career development guidance, of those who work in their teams. A: Publication of the document to all Faculties, beginning of academic year, October 2018. Research managers canvassed through an email call about their experience of the document, beginning of academic year, October 2020 L: Professor Linda King, PVCR and Associate Deans for Research. S: >75% of research managers report being aware of the document and >75% of those who have accessed it report finding it 'useful'.</p>	<p>ACTION COMPLETE AND EMBEDDED</p> <p>We noted that, in response to CROS 2019, 82% of researchers agreed they are “integrated into their department's research community”, which is higher than the sector average (74%). However, whilst in line with the sector average (64% versus 65% sector average), researchers agreed to a lesser extent that they were “integrated into your departmental community more generally”. Researchers also raised the issue of wishing to feel more integrated into their department's culture during focus groups held during the 2018/19 academic year.</p> <p>In CROS 2019, we also exceeded the sector average on agreement with <i>all</i> statements in the section on the usefulness of the institution's staff review/annual appraisal scheme (PDR). For example (sector average in brackets), 95% (vs 64%) said PDR was useful “to highlight issues” 85% (vs 59%) said it was useful “overall” 85% (70%) said it was useful “in reviewing personal progress”. However, only 60% of our researchers said they had “participated in staff appraisal/review” over the past two years. This is lower than the sector average (72%).</p>	<p>New action 2a A: Plan, develop and deliver new module(s) during academic year 2020-21 to support managers of researchers and PIs to effectively support the career development of their team members, as part of the EXPLORE@Brookes programme (see Action 3e). Include focus on the importance of encouraging and facilitating researchers to feel integrated into departmental 'culture', and of PDR. L: Professor Susan Brooks, Director of Researcher Development; Professor Linda King, PVCR; Mrs Jennie Cripps, Researcher Development Co-ordinator. S: Modules launched during academic year 2020-21. CEDARS 2022 and 2024 (Action 6) indicate that 70-80% of our researchers report that they feel “integrated into your departmental community more generally”. They report that they engage in PDR in line with, or exceeding, the sector average and with a target of 80%.</p> <p>New action 2b A: Issues around importance of PDR and researchers' feeling of integration into departmental culture to be raised at Faculty and Departmental level for local action, beginning semester 2 (January-June) 2020 and ongoing. L: Associate Deans for Research to raise at Faculty RKECs; Heads of Department to raise with line managers during the same period.</p>	<p>This action was delayed because Covid meant that we were required to redirect our effort into adapting all of our research and knowledge exchange training for online delivery, including new content being developed as part of the EXPLORE@Brookes programme (see updated action 3e). We consulted and gathered views from researchers, managers of researchers and those who support researchers during 2020-21. We are now, as planned, developing a training package to support managers of researchers. It will be rolled out in June 2022.</p> <p>Delivery and evaluation of the package is incorporated into our 2022-2025 action plan</p> <p>ONGOING WORKSTREAM: ACTION CARRIED FORWARD</p> <p>This action has been partially subsumed into ongoing work associated with our becoming a signatory to the new Concordat, since this has a strong emphasis on the need for regular and effective appraisal (PDR). The requirement for regular and effective PDR is embedded in our new training package to support managers of researchers (see action 2a) including explicit training for holding an effective appraisal with researchers specifically.</p> <p>We have developed new University-wide PDR "Reviewee guidance for Research-only staff" which flags Concordat responsibilities on</p>
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<p>2.3 3.3 3.4 3.6 3.7 3.9 4.11 4.12 5.5</p>	<p>Action 3a New research support web pages launched in November 2016 https://www.brookes.ac.uk/research/research-support/. We wished to determine how these were received by researchers with a view to refining them if necessary.</p> <p>A: Run focus groups with researchers to gather feedback on relevance and ease of navigation of webpages during November-December 2018. Revise and update as required for launch in October 2019. Further focus groups in November-December 2019 to review re-launched pages. Review baseline footfall on webpages during academic year 2017/18 and 2018/19 and compare with footfall on revised webpages during 2019/2020 in October 2020.</p> <p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator</p> <p>S: Focus group participants report that all issues highlighted in original focus group feedback have been satisfactorily addressed (NB as feedback will be qualitative, it is not possible to state quantifiable targets for this action). We see an increase footfall on revised webpages in comparison to baseline.</p>	<p>Focus groups held with researchers as actioned. We also conducted an email campaign and collated written feedback. Our original plan was to act immediately on the feedback as part of an ongoing project to make information more accessible to researchers. However, this action has been subsumed into a much more extensive overhaul and redesign of the webpages supported by significant financial investment (£50K) from the PVCR.</p> <p>Feedback from researchers affirmed that the Researcher Development Matrix, mapping training and development opportunities against the Vitae Researcher Development Framework, was useful, but that we could improve the look of the toolbar, visibility of the web pages and ease of navigation and this has been taken into account as part of web redesign.</p> <p>In the new webpages, for the first time, Researcher Development will have its</p>	<p>Updated action 3a</p> <p>A: Redesign of researcher webpages during academic year 2019-20</p> <p>L: Webpage design: Mrs Jennie Cripps, Researcher Development Co-ordinator; Mrs Helen Shipway, Web Communications Manager; Mr Thomas Shepherd, Web Editor/UX Research and Design. Ongoing webpage support: Dr Gareth Preston, RBDO.</p> <p>S: New webpages launched in time for beginning of the new academic year, September 2020, and kept updated going forward.</p>	<p>The researcher webpages were completely redeveloped during 2019-20, as planned. Content was updated, the format was redesigned, bringing everything together under a new 'researcher development' banner to give clearer identity and to improve navigation. As part of the redevelopment, two new webpages were added, on the Concordat to Support the Career Development of Researchers, and on Vitae.</p> <p>Regular update of the webpages going forward is embedded.</p> <p>ACTION COMPLETE & EMBEDDED</p>

		<p>own sub-section with clearer identity and improved visibility, bringing together relevant training, events, development opportunities, resources and governance.</p> <p>They will also include, for the first time, profiles of research-only staff which are self-editable in order that researchers can continually update, and effectively promote their profile externally.</p>		
2.3 3.3 3.6 3.9 5.5	<p>Action 3b CROS 2017 results indicated an increase in awareness and engagement in training, and we wished to build on this. A: Researcher awareness of training resources available will be reviewed through response to questions in University staff survey 2018 and CROS 2019 that reflect training and its impact, September 2019. L: Professor Susan Brooks, Director of Researcher Development S: Improved response to relevant CROS and staff survey questions in comparison to 2017 results. For example, in comparison with CROS 2017 (2017 figures given in brackets) >90% reported that they were encouraged to engage in development (82%); >90% had undertaken training in research techniques (82%); >80% training in ethical research conduct (70%); >45% in interdisciplinary research (36%) and >55% in public engagement (45%)</p>	<p>CROS 2019 results indicated a high level of researcher awareness of training resources, and their engagement, in comparison to sector average and improvements on CROS 2017. For example, 95% reported that they had access to training and development opportunities (sector average 85%; CROS 2017 91%); 89% reported that they were encouraged to engage in development (sector average 76%; CROS 2017 82%); Moreover, whilst the proportion of time spent on training and development overall was broadly in line with the sector average, the proportion of researchers who spent 10 days or more on training / CPD in the past year (22%) was noticeably higher than the sector average (14%).</p> <p>CROS outcomes were reviewed by a working group consisting of the PVCR, Director of Researcher Development, and Researcher Development Co-ordinator who produced a summary document and action plan which was agreed at University RKEC and distributed to Associate Deans for Research for discussion at Faculty RKECs and for some actions to be implemented at Faculty level. Others form part of this action plan</p>	<p>Updated Action 3b A: Implement CROS 2019 action plan, ongoing until CEDARS 2022 and 2024 (details in other parts of the document)</p>	<p>We have implemented our CROS 2019 action plan (details in other parts of the document) which informed and fed into both our 2022-25 HREiR action plan and our Concordat action plan. ACTION COMPLETE</p>
3.3 3.7 3.9	<p>Action 3d We launched a new centrally-funded Research Excellence Awards scheme open to all research-active staff, including Research Fellows, in 2016</p>	<p>The Research Excellence Awards scheme is now embedded, with 20-30 awards made annually (for example, there were 31 Research Excellence awards made in Jan 2020, amounting to over £300k of central investment in researcher</p>	<p>Updated action 3d A: Review impact of pilot Awards scheme for contract researchers and technicians through written feedback from awardees, and evidence from a showcase event,</p>	<p>An evaluation was undertaken on the pilot for Research Excellence Awards for contract researchers and technicians. All award holders were negatively impacted by Covid – for example, through project delays, laboratory and library closures and cancelled</p>

	<p>A: Run an annual call in November for applications for research excellence awards L: Professor Linda King, PVCR S: Between 20 and 30 awards made annually</p>	<p>activities). It is open to all research-active staff who are REF-eligible, including Research Fellows. It is planned that the scheme will continue. ACTION COMPLETE AND EMBEDDED</p> <p>Building on the success of the scheme, and in direct response to feedback from CROS 2019, in 2019-20, we launched a pilot Research Excellence Awards scheme specifically for contract researchers (PDRAs, experienced PGRAs) and research technicians, to give our researchers experience of leading a small independent project, managing a budget and supervising a summer placement student. In 2020, 7 awards were made totalling £25K.</p>	<p>November 2021, where awardees present the outcomes of their projects. Subject to encouraging feedback, continue to run an annual call for applications for research excellence awards, including those for contract researchers/technical staff L: Professor Linda King, PVCR. S: At least 5/6 awardees from the pilot ECRs/technical staff scheme report positively on the impact of their awards; between 20 and 30 awards to REF-eligible staff and 5-10 awards for ECRs/technical staff made annually going forward</p>	<p>conferences. Despite this, benefits were judged by award holders to far outweigh the challenges and feedback was overwhelmingly positive. Benefits cited by award holders included: increased motivation; improved organisational skills, leadership and people management; improved project management; opportunity for collaboration; better understanding of research project logistics, timeframes and reasonable outputs; and career development opportunities.</p> <p>Following the successful pilot, in 2020-21, 6 awards made totalling £20K; and in 2021-22, 5 awards were made totalling £19K. All who applied for the scheme in the past two years were successful.</p> <p>ACTION COMPLETE</p> <p>We will continue an annual call for Research Excellence Awards – one scheme aimed at REF-eligible research-active staff, including research fellows, and a separate scheme (based on the successful pilot) for contract research staff/technical staff - with an aim of making 20 and 30 awards to REF-eligible staff and 5-10 awards for contract research/technical staff annually going forward</p> <p>ONGOING WORKSTREAM: ACTION CARRIED FORWARD</p>
<p>2.1 2.3 2.6 3.2-3.4 3.6-3.9 4.10-4.14 5.2-5.6</p>	<p>Action 3e We wished to gather researcher views on our training provision, with a view to strengthening it. A: Run focus groups with early career researchers to gather views on strengths and any gaps in our researcher training and support in order to revise and improve provision. Focus groups during June-September 2018; improved provision rolled out during academic years 2018/19 and 2019/20; feedback gathered through forms distributed at the end of any revised/new sessions. L: Professor Susan Brooks, Director of Researcher Development</p>	<p>Focus groups were held as actioned and highlighted strengths and gaps in our researcher training. We also conducted an email campaign and collated written feedback. As a result of this, we offered a number of new workshops for research-active staff, including research-only staff – for example, on ‘consultancy and intellectual property’, ‘how to run a successful conference’, ‘global challenges research and international collaboration’.</p> <p>Furthermore, in response to CROS 2019, there were aspects of ‘training and other continuing professional development activities’ which a high proportion of</p>	<p>Updated Action 3e A: Plan, develop and launch a new accredited Research and Academic Leadership framework EXPLORE@Brookes L: Working group headed by Professor Jackie Potter and Dr Jane Pritchard, OCSLD S: Advance HE accredited framework launched Sept 2020; Comparable scores around ‘training and other continuing professional development activities’ improve in CEDARS 2022 and 2024 by at least 5-10% in comparison with CROS 2019.</p>	<p>The EXPLORE@Brookes programme was planned, developed and received accreditation by Advance HE, as planned, and in spite of the COVID pandemic. It launched at the beginning of academic year 2020-21 and we reported our formal appraisal of the first run of the scheme to RKEC and the Teaching and Learning Enhancement Committee (TLEC) in February 2022.</p> <p>The programme included revised, expanded and refreshed iterations of aspects of our long standing and successful ‘your first three years’ programme’ (for all research-active new starters at the University, including research-only staff) including, for example, mandatory</p>

	<p>S: Revised programme includes new provision that satisfies any gaps identified in analysis, and >80% attendees/participants in new or revised sessions report that the session meets their needs.</p>	<p>respondents said that they had 'not undertaken but would like to', notably: knowledge exchange (73%), and leadership and management (61%).</p> <p>Now, furthering our embedded work to develop and deliver an integrated academic development framework, incorporating research management, research degree supervision, leadership and teaching, we are currently working with OCSLD to build and develop our long-standing 'Your First Three Years' development programme into a career-wide and career-long CPD framework, EXPLORE@Brookes (EXcellence in Promoting Leadership Of Research and Education). There will be a pathway through the programme specifically for research-only staff. We will seek accreditation of the programme from Advance HE https://www.advance-he.ac.uk/.</p>		<p>research induction, and workshops on 'applying for external research grants and managing rejection' and 'managing an external research grant'. We also developed and delivered a broad suite of new content including 'commercialising an idea, start-ups and spin-outs', 'open research and research integrity', 'navigating the research ethics approvals process', 'integrating public engagement into your research', 'an introduction to consultancy', 'embedding the impact of your research', 'how to run a successful conference', 'evaluating your public engagement activities' and 'data management'. Moreover, all content was developed or adapted for 'hybrid' delivery with a combination of pre-recorded self-directed learning packages and live (online) discussion events.</p> <p>Participant feedback indicated that the move to online delivery was well-received (average overall rating of sessions 4.6 / 5 - with 1 being poor and 5 being excellent). Highlights from delegate feedback included participants reporting a better understanding of the wider university structure, culture, reputation, support, resources and funding system for research. Delegates appreciated having access to training videos in advance, being able to refer back to content after the live element, and having the opportunity to ask questions at the Q&A sessions and learn from the experiences and advice of other researchers. Suggestions for future improvements to timing, format and new content have been taken forward with session leads. Additional content is under development.</p> <p>ACTION COMPLETE</p> <p>Having launched and evaluated EXPLORE@Brookes during its first year, we plan to consolidate, improve (in response to feedback / participant evaluation) and expand the programme.</p>
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2.6 3.2 3.5 5.4 5.5 6.1-6.8	<p>Action 4b</p> <p>In 2018 we were nearing the end of a project to develop a 'parent, carer, academic' resource featuring inspiring stories of Brookes academics. It was launched at an event on 13th June 2018 chaired by Dr Katy Gearing, Head of Industry Engagement at the Royal Society, and entitled 'Making a Difference: work/life experiences of Brookes' academics'. Hard copy and on-line version of the booklet had been developed, together with four short videos which feature some of our colleagues.</p> <p>A: Develop a web microsite to host the 'parent, carer, academic' videos and link to research webpages and Athena SWAN webpages, beginning May 2018; microsite launched September 2018. Analyse characteristics - such as gender, full time or part time status and ethnicity -- of those who apply for and gain promotion and measure against 2018 baseline; end of academic year, September 2019 and annually thereafter.</p> <p>L: Ms Mieke Tyrell, Research Administrator, Centre for Diversity Policy Research (microsite); Mrs Alison Cross, Director of HR, (staff analysis).</p> <p>S: Microsite is live. Analysis indicates improved levels of applications for promotion from women, part-time staff and BAME staff in comparison to 2018 baseline and that these staff groups are equally likely to have their applications approved.</p>	<p>The microsite is live https://www.brookes.ac.uk/research/work-life-experiences/ named 'making a difference: work/life experiences of Brookes' academics' and is linked from the researcher development webpages.</p> <p>A parallel project on women and spinouts, in collaboration with the University of Oxford and Vitae and funded by EPSRC has resulted in a resource featuring blogs, videos and inspiring case studies exploring the entrepreneurial pathway from research to spinout leadership</p> <p>Whilst we actioned analysis of promotion data, we now consider data on numbers of post-docs achieving internal fellowships, and research fellows securing internal academic posts to be more relevant. All these data are being collected as part of work for Athena SWAN (Action 7).</p> <p>ACTION COMPLETE AND EMBEDDED</p> <p>Content from the 'making a difference: work/life experiences of Brookes' academics' has been incorporated into the GEARING-roles project www.gearingroles.eu, funded by Horizon 2020 https://www.brookes.ac.uk/the-centre-for-diversity-policy-research-and-practice/research-projects/gearing-roles/. This is a 4 year multi-disciplinary, multi-national, and multi-sectorial collaboration supported by training, mentoring, awareness-raising and bi-annual videos and podcasts, and annual networking events. The objective is challenging and transforming gender roles and identities linked to professional careers, and work towards real institutional change. Part of this initiative is setting up an inter/intra-</p>	<p>Updated Action 4b</p> <p>A: recruit 5 female Oxford Brookes contract research staff as mentees to the FELISE programme.</p> <p>L: Dr Anne Laure Humbert, Director, Centre for Diversity Policy Research and Practice; Mrs Jennie Cripps, Researcher Development Co-ordinator.</p> <p>S: 5 female contract research staff mentees recruited</p>	<p>We successfully recruited 6 female mentees to the FELISE programme.</p> <p>ACTION COMPLETE</p>

		institutional mentoring programme FELISE (Female Leadership in Science).		
7.2	<p>Action 6</p> <p>In 2011 and 2013, we took part in CROS but there was a disappointingly low level of participation (16%). We reviewed how we encourage participation and saw improved participation (30%) in 2015. Participation rate fell again to 18% in 2017. We investigated the reasons for this. One cause appeared to be 'survey fatigue'. However, we also saw reduced promotion of the survey because of a failure in our communication strategy. This was discussed at University and Faculty RKECs during 2017 and actions to address this in 2019 agreed.</p> <p>A: Clearly identify, through HR records, research-only staff who should be invited to participate. Actively engage Research Managers in publicising CROS to researchers in their Faculties with a clear explanation to researchers of the benefits of taking part. Deliver CROS in 2019 with a target participation rate of at least 30%.</p> <p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator, Professor Susan Brooks, Director of Researcher Development, and Faculty Research Managers.</p> <p>S: 30% or higher participation rate in CROS 2019</p>	<p>Our improved communication strategy resulted in a response rate of 51% (45 out of a population of 88 researchers) in CROS 2019, considerably exceeding our target of 30%. CROS findings were overwhelmingly positive, were discussed at University and Faculty RKECs, and an action plan agreed. We have emailed all researchers with a summary of CROS findings, and actions, and they were invited to a discussion forum.</p> <p>As we are currently implementing our actions based on feedback from CROS 2019, and were not expecting another survey until 2021, we have decided not to engage in the new Culture, Employment and Development in Academic Research Survey (CEDARS) in 2020. However, we are fully committed to engage in CEDARS going forward, and aim to maintain this high level of engagement with it.</p>	<p>Updated Action 6</p> <p>A: Clearly identify, through HR records and research managers research-only staff and PIs who should be invited to participate. Actively engage Research Managers in publicising CEDARS to staff in their Faculties with a clear explanation to researchers/PIs of the benefits of taking part. Deliver CEDARS in 2022 and 2024 with a target participation rate of at least 40-50%.</p> <p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator, and Faculty Research Managers.</p> <p>S: At least 40-50% participation rate in CEDARS 2022 and 2024.</p>	<p>We planned to take part in CEDARS 2022 until we were informed by Vitae that it was not a benchmarking year. Judging that the benchmarking data is critical to our assessing our position in relation to the sector, we will engage in CEDARS 2023 and biennially thereafter.</p> <p>In preparation for running CEDARS, the legal agreement has been signed off and is in place.</p> <p>In addition to maintaining an up to date and accurate mailing list of all research-only staff, we now hold an up to date mailing list of all managers of researchers, which is updated by HR monthly. We are therefore confident that we can effectively communicate with both researchers and managers of researchers to invite them to take part.</p> <p>We have used CEDARS 2021 aggregate data as benchmarking for many of our actions in our 2022-25 action plan.</p> <p>ONGOING WORKSTREAM: ACTION CARRIED FORWARD</p>
1.2 1.4 6.1-6.10 7.5	<p>Action 7</p> <p>The University was awarded institutional Athena SWAN 'Bronze' in 2012. The Faculty of Health and Life Sciences (HLS) achieved Departmental 'Silver' in April 2014, the first of our four Faculties to do so. In 2018, we were working towards all Faculties holding awards.</p> <p>A: Institutional 'Bronze' renewal, application in April 2020.</p> <p>L: Institutional award self-assessment team headed by Professor Linda King, PVCr.</p> <p>S: Retention of Institutional Bronze' award under new charter.</p> <p>A: HLS applied for renewal of their award in April 2018; if 'Silver' is achieved in 2018, HLS will apply for 'Gold' in 2022.</p>	<p>Our participation in Athena SWAN https://www.ecu.ac.uk/equality-charters/athena-swan/ has continued as actioned and we plan that all four Faculties will hold awards by 2021.</p> <p>We are working towards application for renewal of Institutional 'Bronze' in November 2020 as part of a pilot 'light touch' scheme for those who previously achieved their awards under the new Charter.</p> <p>HLS successfully renewed their 'Silver' award in 2018 and have actioned to work towards renewal of 'Silver' in 2022.</p>	<p>Updated Action 7</p> <p>A: Institutional 'Bronze' renewal, application in November 2020.</p> <p>L: Institutional award self-assessment team headed by Professor Linda King, PVCr.</p> <p>S: Retention of Institutional 'Bronze' award under new 'light touch' pilot</p> <p>A: HLS apply for renewal of their 'Silver' award in April 2022.</p> <p>L: HLS steering group headed by Dr Astrid Schloerscheidt, PVC/Dean HLS</p> <p>S: Retention of Departmental 'Silver' award in 2022.</p>	<p>The Covid pandemic meant that there was an extension to Athena SWAN deadlines.</p> <p>Institutional 'Bronze' renewal application submitted May 2022.</p> <p>HLS 'Silver' renewal application planned April 2023.</p> <p>TDE 'Bronze' renewal application planned November 2022</p> <p>Humanities and Social Sciences achieved departmental 'Bronze' in 2020 and plan to apply for 'silver' at renewal.</p> <p>Business is working towards delayed application in 2023</p>

	<p>L: HLS steering group headed by Professor Susan Brooks S: Retention of Departmental 'Silver' award in November 2018; award of 'Gold' in 2022.</p> <p>A: Faculty of Technology, Design and Environment (TDE) application for renewal of Departmental 'Bronze' under the new charter, November 2020. L: TDE self-assessment team led by Mr Sean Wellington, AD Strategy & Development S: Retention of Departmental 'Bronze'</p> <p>A: Faculty of Humanities and Social Sciences (HSS) application for Departmental 'Bronze' under the new charter, November 2019 L: HSS self-assessment team led by Mrs Michelle Montgomery, AD Strategy & Development S: Award of Departmental 'Bronze'</p> <p>A: Faculty of Business application for Departmental 'Bronze' under the new charter, April 2019 L: Business self-assessment team led by Mr Andrew Halford, AD Strategy & Development S: Award of Departmental 'Bronze'</p>	<p>TDE are working towards renewal of their 'Bronze' award, as actioned.</p> <p>HSS applied for 'Bronze' under the new charter, November 2019, as actioned</p> <p>Business are working towards a 'Bronze' award, as actioned.</p> <p>Our commitment to Athena SWAN is embedded.</p> <p>In CROS 2019 we exceeded the sector average on agreement with <i>all</i> of the statements in section 2.5 Equality and Diversity. For example, 98% believed that we are committed to equality and diversity (87% sector average); 89% said that we promote better mental health and well-being at work (62% sector average) and 84% were satisfied with their work-life balance (68% sector average).</p>	<p>A: TDE application for renewal of Departmental 'Bronze' under the new charter, November 2020. L: TDE self-assessment team led by Mrs Sally Wells, Head of Operations S: Retention of Departmental 'Bronze' in 2020.</p> <p>A: Business application for Departmental Bronze' under the new charter, April 2020. L: Business self-assessment team led by Mr Andrew Halford, AD Strategy Development. S: Award of Departmental 'Bronze' in 2020.</p>	<p>ONGOING WORKSTREAM: ACTION CARRIED FORWARD</p>
7.5	<p>Action 9 Our workload pan (WLP) audit was underway in preparation for the next REF. A: Introduce an annual analysis of research allocations within WLP model to identify if there are any biases by protected characteristics. If biases are identified, put a corrective action plan into place L: Mrs Alison Cross, Director of HR, December annually S: Data analysis for next REF reveals no evidence of bias.</p>	<p>The 2019/20 equality impact assessment indicates that there have not been any significant changes since the 2018/19 assessment. As in 2018/19, the available data suggests that the selection procedures defined in the code of practice will not disproportionately impact particular groups when all relevant factors are taken into account.</p>	<p>A: Most recent assessment to be reviewed and actions recommended if appropriate. A further equality impact assessment to be carried out when the final REF population and submission data is available, end of November 2020. That assessment will review the findings of the interim assessments, draw conclusions on the final submission data and, if any overall bias is identified, will set out the actions to be taken to remove this going forward. L: Professor Linda King PVCR, Chair of REF Steering Group; Mrs Ruth Davies, Director of HR. S: Analysis completed. If any overall bias is identified,</p>	<p>No issues identified at review.</p> <p>ACTION COMPLETE</p>

			corrective action plan developed and put into place.	
2.2 2.4 3.1-3.9 4.10 4.11 4.13 5.2	<p>Action 10 Our Research and Knowledge Exchange Strategy 2015/16-2020/21 http://www.brookes.ac.uk/aboutbrookes/strategy-2020/research-and-knowledge-exchange-strategy was nearing its end.</p> <p>A: Review and action planning for update of Strategy to be considered at an RKEC Away Day to which research leads, ECR representatives and Professors from all Faculties will be invited, October 2018, working towards review and update of the strategy in 2021.</p> <p>L: Professor Linda King, PVC S: Updated Research and Knowledge Exchange Strategy launched in 2021.</p>	<p>There has been an extensive and inclusive consultation process, involving input from researchers. Our new Research and Knowledge Exchange Strategy 2021-2035 is in draft and currently out for consultation. The 'vision' for 2021-35 will be delivered across 5-year discreet packages, and is based on 4 'pillars': (1) 'research and innovation', (2) 'people and culture', (3) 'partnerships and place' and (4) 'education and enterprise'.</p>	<p>Updated Action 10 A: Completion of consultation, Strategy agreed by end of academic year, July 2020. L: Professor Linda King, PVC S: Updated Research and Knowledge Exchange Strategy 2021-2035 launched in 2021.</p>	<p>New Research and Knowledge Exchange Strategy (University 'Research and Innovation Pillar 2035 vision statement') launched as planned, following extensive consultation with researchers - https://www.brookes.ac.uk/about-brookes/strategy/</p> <p>ACTION COMPLETE</p>
2.3 2.6 3.3 3.6 3.8 3.9 4.12	<p>Action 11 In 2014, it was determined that not all newly-appointed research-active staff were being identified in order that they could be invited to attend our long established 'Your First Three Years' development programme for newly-appointed research-active staff (including, but not exclusively, research-only staff) http://www.brookes.ac.uk/research/research-support/training-events/ We reviewed mechanisms by which newly-appointed research-active staff were identified and improved the mechanisms through which they are invited to attend the programme. However, in 2015-16, take up rates were 21 out of 80 invited (27%); in 2016-17, 36 out of 93 invited (39%). In 2018, we felt confident that we were identifying and inviting the right people. We now wished to concentrate on understanding the barriers to staff attending so that we could address them.</p> <p>A: We will continue to monitor attendance, beginning June 2018 after the second run of the 'induction' session, and annually in June thereafter. Non-attenders will be sent an email inviting them to the next run of the programme and asking for feedback on why they did not attend.</p>	<p>We conducted a questionnaire survey of all those invited and who had not attended in order to establish if there were common barriers to attendance. A broad range of valid reasons were given (e.g. clash with external conference, clash with teaching or marking, sickness etc) and it was not possible to identify major avoidable issues that we could address. However, we will attempt to alleviate some of the issues by developing core on-line modules, and broadening the range of times/days when events are run to broaden flexibility.</p> <p>We continue to feel confident that we are now identifying all eligible staff, inviting them, and following up on non-attendance.</p> <p>This has resulted in a marked increase in numbers attending – for example, in 2015-17, attendance levels were around 10-20 people at each session; this has now risen to 40-60 attendees at each session.</p> <p>During February 2017-February 2019, 135 research-active staff out of those 206 identified as eligible engaged with the scheme, giving an overall take up rate of 66%; 43 of the 59 eligible research-only</p>	<p>Updated Action 11a A: We will continue to monitor attendance at all 'Your First Three Years' sessions and follow up on non-attenders, inviting them to the next run of the programme. Ongoing. L: Mrs Jennie Cripps, Researcher Development Co-ordinator S: Gradual further improvement in attendance figures such that 80% of those eligible overall are engaging with the programme by May 2024.</p> <p>Updated Action 11b A: As part of EXPLORE@Brookes (Action 3e), diversify times/dates that face to face sessions are hosted, from September 2020; develop on-line modules for some core elements of the programme, September 2021-August 2022. L: Professor Susan Brooks, Director of Researcher Development; Mrs Jennie Cripps, Researcher Development Co-ordinator. S: Face to face sessions run at different times/days, beginning</p>	<p>Attendance levels at the Research and Knowledge Exchange events in the EXPLORE@Brookes programme in 2020-21 were greatly increased in relation to comparable events in the previous 'your first three years' programme (more than double). As examples, in 2018-19 and 2019-20 we saw 31 and 32 participants at Oct researcher induction, respectively, compared to 81 and 63 participants at induction in 2020-21 and 2021-22 respectively. At 'applying for research grants' in 2018-19 and 2019-20 we saw 45 and 65 participants respectively, compared to 132 and 130 in 2020-21 and 2021-22, respectively. During the period May 2018-May 2021, 85% of researchers (197/233) who were eligible to attend the programme had engaged with it. Improvements in attendance occurred concomitantly with the improved accessibility provided by online provision. The move to online provision was already planned as intrinsic to development of the EXPLORE@Brookes programme, but was also accelerated by the Covid pandemic which meant that all training has been virtual and online since the beginning of academic year 2020-21.</p> <p>ACTIONS COMPLETE & EMBEDDED</p>

	<p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator</p> <p>S: Attendance figures improve (from, currently, a baseline of around 40%) and we establish a more detailed understanding of barriers to attendance.</p>	<p>staff attended, giving a take-up rate of 73%.</p> <p>We recognised in early 2020 that we have a small number of (mostly international) visiting Research Fellows who, because they are funded by external sources, do not appear in HR records and may not always be invited to training.</p>	<p>September 2020; on-line modules rolled out during academic year 2021-22.</p> <p>Updated Action 11c</p> <p>A: Identify externally-funded visiting Research Fellows and add them to the researcher database with immediate effect</p> <p>L: Mrs Jennie Cripps, Researcher Developer Co-ordinator; Faculty Associate Deans for Research; Faculty Research Managers.</p> <p>S: All externally funded visiting Research Fellows invited to 'Your First Three Years' sessions and other development opportunities aimed at researchers.</p>	<p>Externally-funded visiting Research Fellows identified and added to the database. Newly appointed visiting fellows will continue to be identified and invited to training</p> <p>ACTION COMPLETE & EMBEDDED</p>
5.1 5.3	<p>Action 13</p> <p>We had reviewed our training provision for researchers on research 'research integrity' and were planning to invest in an on-line training package of six 'modules' covering (1) Introduction to research integrity and the responsible and ethical conduct of research (2) Ethical approval and practice (3) Plagiarism and recycling of text and research outputs (4) Authorship (5) Collaborative research and data management and integrity (6) Peer review and publication ethics. We were working with our web team with a view to launch in January 2019. Engagement was planned to be a mandatory element of training for <i>all</i> researchers, but initially we aimed to engage newly appointed researchers undertaking the 'Your First Three Years' development programme.</p> <p>A: Launch new integrity on-line training package January 2019. Review of engagement with the training package, January 2021. Feedback on users' experience of the package gathered through focus group discussion at the final 'Your First Three Years' session, March 2021.</p> <p>L: Mrs Jennie Cripps, Researcher Development Co-ordinator, Professor Susan Brooks, Director of Researcher Development.</p>	<p>Provision of the on-line integrity package was delayed because introduction of new GDPR rules meant that the provider needed to develop extra modules.</p> <p>UKRIO https://ukrio.org/ have now announced their intention to release an equivalent on-line integrity package, and this plus 'live' workshop(s) will be integrated, as a mandatory element, into the new EXPLORE@Brookes framework, as will training to support applications for ethics approval (see action 3e).</p> <p>As part of our commitment to supporting and improving research integrity and good management, we are establishing a University-wide 'Steering Group for Research Integrity, Research Improvement and Data Management' which will oversee, support and deliver training on matters including, for example, open access and data management. The PVCRC has committed funds to invest in a senior academic to lead the Steering Group and a FT research data manager to support the post.</p>	<p>Updated Action 13a</p> <p>A: 'Steering Group for Research Integrity, Research Improvement and Data Management' to be established; research data manager in post and Steering Group active by the beginning of the 2020-21 academic year.</p> <p>L: Professor David Foxcroft, Steering Group Chair.</p> <p>S: Working group established and operational in time for the beginning of the 2020-21 academic year; 0.5FTE Administrator, recruited from contract research staff, in post.</p> <p>Updated Action 13b</p> <p>A: Develop modules on navigating the University research ethics approval process, research integrity and data management as part of EXPLORE@Brookes</p>	<p>The steering group, termed ORIGIN (Open Research, Integrity and Governance Improvement Nexus), established and operational by the beginning of 2020-21 academic year, as planned, Chaired by the University lead for UKRN.</p> <p>ACTION COMPLETE</p> <p>Recruitment of the data manager post was delayed owing to Covid, and the recruitment process is now underway, and as a full time rather than 0.5FTE position. In addition, the Chair of ORIGIN was successful in being awarded a Research England bid that will fund a 0.6FTE open research administrator for 5 years; the PVC Research and Global Partnerships has agreed to provide 0.4FTE funding, from central research funds, to make this full time.</p> <p>ACTION CARRIED FORWARD</p> <p>We developed and ran for the first time a series of new mandatory training sessions during 2020-21 for new research-active staff on research integrity: i) Navigating the Research Ethics Approvals Process, ii) Data Management and iii) Open Research & Research Integrity, as planned. These form</p>

	<p>S: Integrity on-line training package is 'live'. Review of participant feedback in focus groups indicates ease of navigation, relevance of content, and improved awareness of integrity issues and good practice. Baseline engagement levels with the package are established as a starting point for future development.</p>		<p>(Action 3e), beginning September 2020. L: Professor David Foxcroft, Chair of Steering Group for Research Integrity, Research Improvement and Data Management S: Modules launched during academic years 2020-21 and 2021-22 as part of EXPLORE@Brookes.</p>	<p>part of the EXPLORE@brookes training programme for all newly appointed research-active</p> <p>ACTION COMPLETE & EMBEDDED</p> <p>We are awaiting the release of the UKRIO online Research Integrity course as part of our institutional subscription. It will become a mandatory part of the EXPLORE@Brookes programme.</p> <p>ONGOING WORKSTREAM: ACTION CARRIED FORWARD</p>
<p>New Actions</p>		<p>Reason / background to new actions</p>		
<p>Principle 7</p>		<p>A new Concordat to Support the Career Development of Researchers launched September 2019.</p> <p>The new Concordat was presented to University RKEC in October 2019 to highlight the new key defining principles and responsibilities and flag the introduction of a minimum of 10 days professional development quota pro rata each year for researchers. The Committee actioned to sign up to the Concordat in May 2020 so that our HREiR action plan and new Concordat action plans are aligned going forward.</p>	<p>New Action 14 A: Oxford Brookes University to become a signatory to the new Concordat in May 2020; new Concordat and HREiR action plans are aligned going forward. L: Professor Susan Brooks, Director of Researcher Development and Professor Linda King, PVCR. S: Oxford Brookes University is a signatory to the Concordat; Action plan approved Faculty and University RKEC and published by May 2021.</p>	<p>Oxford Brookes University became a signatory to the Concordat in May 2020 as planned.</p> <p>All research-only staff and managers of researchers were informed by email in May 2020 that the University had become a signatory, with an explanation of the purpose of the Concordat and its obligations. A new Concordat web page was established. Our Institutional commitment and Concordat obligations are now embedded in mandatory elements of the University's Research and Knowledge Exchange training programme for research-active staff at all levels (the EXPLORE@Brookes programme, see updated action 3e).</p> <p>We produced and formalised a Concordat gap analysis and action plan and initial annual report, which were approved by RKEC in Feb 2021 and displayed on our outward-facing Concordat webpages https://www.brookes.ac.uk/research/concordat-to-support-the-career-development-of-researchers/ in Mar 2021. Our annual report and update on our Concordat action plan were approved by RKEC and displayed on our webpages in Feb 2022. The forward-looking (2022-2025) HREiR action plan is based on these documents.</p> <p>ACTION COMPLETE & EMBEDDED</p>

<p>2.3 3.6 6.1 6.10 Principle 7</p>		<p>In CROS 2019, whilst there were no comparisons with the sector, we noted that our researchers had a generally poor level of knowledge of UK initiatives relevant to research staff. For example,</p> <ul style="list-style-type: none"> - Only 7% said they had some understanding of the Race Equality Charter and 61% had never heard of it. - Only 9% said they had some understanding of the Concordat to Support Research Integrity and 67% had never heard of it. - Only 18% said that they had some understanding of the HREiR Award and 45% had never heard of it. 	<p>New Action 15 A: increase awareness and highlight relevance of external frameworks at university training events, through the new EXPLORE@Brookes framework (Action 3e), through greater prominence/visibility on university web pages (Action 3a) and at induction. L: Professor Susan Brooks, Director of Researcher Development; Mrs Jennie Cripps, Researcher Development Co-ordinator; Faculty Research Managers S: Scores improved in CEDARS 2022 and 2024 by at least 5-10% in comparison to CROS 2019. See also Action 1.</p>	<p>We have prepared short (one minute) 'snapshot' videos that introduce key initiatives relevant to researchers, such as the Race Equality Charter, the Concordat to Support the Career Development of Researchers, DORA, the Concordat to Support Research Integrity and the HREiR award. These will form part of the 'training bundle' of resources that will form our new training package for managers of researchers, and our new package for research-only staff.</p> <p>ONGOING WORKSTREAM: ACTION CARRIED FORWARD</p>
<p>6.1 6.3 6.4 6.8 7.5</p>		<p>As part of our preparations for REF, we have become increasingly aware of how the use of metrics may adversely affect some groups of staff, including ECRs. We established a DORA working group who met for the first time in February 2020, and which includes researcher representation.</p>	<p>New Action 16 A: Task & Finish group to work towards the University becoming signatories to DORA https://sfdora.org/ by July 2020. L: Professor David Evans, Academic Lead for DORA working group S: University becomes a signatory to DORA.</p>	<p>Oxford Brookes University became a signatory to DORA as planned</p> <p>ACTION COMPLETE & EMBEDDED</p>

List of abbreviations

ADRKE - Associate Dean, Research & Knowledge Exchange

BAME – Black, Asian and Minority Ethnic

CEDARS - Culture, Employment and Development in Academic Research Survey

CPD – Continuing Professional Development

CROS – Careers in Research On-line Survey

DORA – (San Francisco) Declaration On Research Assessment

ECR – Early Career Researcher

EPSRC – Engineering and Physical Sciences Research Council

EXPLORE@Brookes -- EXcellence in Promoting Leadership Of Research and Education at Brookes (development framework)

FTE – Full Time Equivalent

GDPR – General Data Protection Rules

HE – Higher Education

HLS – (Faculty of) Health and Life Sciences

HR – Human Resources

HREiR – HR Excellence in Research

HSS – (Faculty of) Humanities and Social Sciences

OCSLD – Oxford Centre for Staff Learning Development

PDR – Performance and Development Review

PDRA – Post-Doctoral Research Assistant

PGRA – Post-Graduate Research Assistant

PI – Principal Investigator

PVC – Pro-Vice Chancellor

PVCR – Pro-Vice Chancellor for Research

RDF – (Vitae's) Researcher Development Framework

REF – Research Excellence Framework

RKEC – Research and Knowledge Exchange Committee

STEMM – Science, Technology, Mathematics and Medicine

TDE – (Faculty of) Technology, Design and Environment

UKRIO – United Kingdom Research Integrity Office

WLP – Workload Plan

