

## HR Excellence in Research – Revised Gap Analysis and Action Plan - Oxford Brookes University

### Six-year review, May 2018

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

Actions that form a key element of our strategy for the next 2 years (see supporting statement) are highlighted in blue

Actions that are complete are highlighted in brown

New actions are highlighted in purple

Action related to Concordat clause number	Background to, and description of, action defined in 2016 gap analysis and action plan. Action (A) Leads / date by (L/D) Success measures (S)	Progress since 2016 review and comments	Strategy going forward for next 2 years: Action (A), with timeline Lead or leads (L) Success measures (S) – NB these are 'SMART' whenever practicable
1.1 3 5.2	The Research and Knowledge Exchange Strategy 2015/16-2020/21 has been developed and agreed <a href="http://www.brookes.ac.uk/about-brookes/strategy-2020/research-and-knowledge-exchange-strategy">http://www.brookes.ac.uk/about-brookes/strategy-2020/research-and-knowledge-exchange-strategy</a> L: Implementation of strategy overseen by PVCR	The implementation of the Strategy, overseen by the PVCR, is ongoing.  In recognition of the expansion of our training and provision for researchers, and of the importance of this group of staff to the University and their key contribution to our Research and Knowledge Exchange Strategy 2015-2021, the PVCR agreed central funding to appoint a 0.5FTE Researcher Development Co-ordinator (RDC), Jennie Cripps, who took up post in March 2018.	<b>Action 10</b>  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.  L: Linda King, PVCR  S: Updated Research and Knowledge Exchange Strategy launched in 2021.
1.2 1.4	The University's recruitment and selection policy and procedure will be reviewed and updated every 2 years. L/D: HR to carry out reviews. First review 2017.	The University's recruitment and selection policy and procedure was reviewed and updated as planned. This included detailed analysis of data regarding gender and ethnicity of successful and unsuccessful applicants as part of our institutional Athena SWAN application, which revealed no indication of bias (see action 7). As an example, when considering data in FHLS, analysis of data for the years between 2011-12 and 2016-17 show that there was no bias in shortlisting or acceptances by gender or ethnicity at any grade in any year (Fisher's exact tests, $P > 0.3$ in all cases). There was no bias in offers by gender or ethnicity (Fisher's exact tests, $P > 0.03$ in all cases) except for researchers in 2012 and 2017 when significantly greater proportions of women were made offers (Fisher's exact test, $P < 0.05$ in both cases).  Two-yearly review of the policy and annual monitoring of recruitment data are now embedded practice.	Action complete.
1.2 1.4	All members of all interview panels at the university must first attend recruitment and selection training and a training refresher course every 3 years which includes extensive guidance on Equality and Diversity.  Since 2015, initial recruitment and selection training and the refresher course include unconscious bias training.	Mandatory initial and refresher training for recruitment and selection is embedded practice. Compliance is monitored and enforced.	Action complete.

	<p>We will continue to monitor compliance and ensure that all panel members receive training.</p> <p>(L/D: Alison Cross, Director of HR / ongoing)</p> <p>The chair of the panel is responsible for giving individual feedback to all unsuccessful internal candidates, and external applicants if requested.</p>		
1.2 6.3 7.5	<p>We will continue to produce an annual Equality &amp; Diversity (EDI) report based on data collected at a reference point of 31<sup>st</sup> July each year and act on any issues that are highlighted. The report will be published in October / November each year. (Elaine Dagnall, HR / ongoing).</p> <p><b>Action 1</b>  <b>A:</b> We will apply for the Race Equality Charter Mark in 2019  <b>L/D:</b> Professor Anne-Marie Kilday, PVC staff experience, head of SAT / by December 2019).  <b>S:</b> Award of the Race Equality Charter Mark.</p>	<p>We continue to produce annual EDI reports and to conduct regular equal pay audits.</p> <p>These can be viewed at <a href="https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/edi-at-brookes/">https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/edi-at-brookes/</a> This practice is embedded.</p> <p>We published figures on the gender pay gap in March 2017 <a href="https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/edi-at-brookes/gender-pay-gap/">https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/edi-at-brookes/gender-pay-gap/</a>. Whilst this report did not consider researchers specifically, it showed that 51.3% of jobs in the upper quartile of the pay distribution were held by women.</p> <p>We continue to embed and develop practice and policies in order to work towards application for the Race Equality Charter Mark and have revised our estimation of when we will be ready to apply.</p>	<p><b>Updated Action 1</b>  <b>A:</b> We will apply for the Race Equality Charter Mark in December 2020.  <b>L:</b> Professor Anne-Marie Kilday, PVC staff experience, head of SAT.  <b>S:</b> Award of the Race Equality Charter Mark.</p>
1.3 2.1 2.2 2.4	<p>Central research funds will continue to provide bridging funds while applications for research grants are being processed. (Linda King, PVCR / ongoing)</p>	<p>All applications in the past three years (4 in 2015/16; 6 in 2016/17; 4 in 2017/18) have been approved.</p> <p>This practice is embedded.</p>	<p>Action complete.</p>
2.3 2.6 3.1 3.6 3.9 5.4 5.6	<p>In 2014 the Faculty of Health &amp; Life Sciences developed a policy document and procedures to advise managers of research teams regarding performance management, including career development guidance, and supervision of those who work in their teams.</p> <p><b>Action 2</b>  <b>A:</b> The document will be reviewed and revised in response to feedback from users in the Faculties. As the document was developed within a STEMM subject area, special emphasis will be placed on ensuring that it is fit for purpose in non-STEMM research areas.  <b>L/D:</b> Linda King, PVCR and ADRKEs / December 2017  <b>S:</b> Publication of revised document</p>	<p>The document has been reviewed and updated as planned.</p>	<p><b>Updated Action 2</b>  <b>A:</b> 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  <b>L:</b> Linda King, PVCR and ADRKEs  <b>S:</b> &gt;75% of research managers report being aware of the document and &gt;75% of those who have accessed it report finding it 'useful'.</p>
2.3 3.3 3.6 4.12	<p>In 2014, it was determined that not all newly-appointed research-active staff were being identified by HR in order that they could be invited to attend the 'Your First Three Years' programme for newly-appointed research-active</p>	<p>While in 2016, improved practice resulted in a positive effect, we have continued to improve the mechanisms by which we identify staff to be invited to the programme, and encourage and</p>	<p><b>Action 11</b>  <b>A:</b> 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</p>

	<p>staff <a href="http://www.brookes.ac.uk/research/research-support/training-events/">http://www.brookes.ac.uk/research/research-support/training-events/</a>.</p> <p>We reviewed mechanisms by which newly-appointed research-active staff are identified and have improved the mechanisms through which they are invited to attend the 'Your First Three Years' programme. This has resulted in an improvement in take-up rates from 42% of those eligible in 2012-13 to 48% in 2013-14 and 2014-15 (we realised that there was an error in our data presented in our 2016 action plan where we claimed a 72% attendance rate in 2014-15).</p>	<p>follow up attendance. Personal invitations are now sent by the PVCR. Those that do not attend the first session are sent a reminder that this is a mandatory programme and with an updated invitation to the next introductory session, also sent from the PVCR.</p> <p>In 2015-16, take up rates were 21 out of 80 invited = 27%; in 2016-17, 36 out of 93 invited = 39%.</p> <p>We feel confident that we are now identifying and inviting the right people. We now wish to concentrate on understanding the barriers to staff attending so that we can address these in future.</p>	<p>an email inviting them to the next run of the programme and asking for feedback on why they did not attend.</p> <p><b>L:</b> Jennie Cripps, Researcher Development Co-ordinator <b>S:</b> Attendance figures improve (from, currently, a baseline of around 40%) and we establish a more detailed understanding of barriers to attendance.</p>
<p>2.3 3.3 3.6 3.7 3.9 4.11 4.12</p>	<p>After extensive consultation with researchers, we planned a new, more comprehensive <b>researcher development matrix</b>, based on and mapped against the Vitae researcher development framework; and the 'Your First Three Years' programme (described above) will be integrated into this. This will sit within the new Academic Development Framework (which also covers teaching and leadership).</p> <p><b>Action 3a</b> <b>A:</b> Develop new web pages to package and promote the new <b>researcher development matrix</b> <b>L/D:</b> Linda King, PVCR and Susan Brooks, Research Training Co-ordinator / launch in November 2016. <b>S:</b> Web pages go live</p> <p><b>Action 3b</b> <b>A:</b> Researcher awareness of training resources available will be reviewed through response to questions in CROS and staff survey that reflect training and its impact <b>L/D:</b> Professor Susan Brooks, Research Training Co-ordinator / September 2018) <b>S:</b> Improved response to relevant CROS and staff survey questions in comparison to 2015 results.</p>	<p>New research support web pages launched in November 2016 <a href="https://www.brookes.ac.uk/research/research-support/">https://www.brookes.ac.uk/research/research-support/</a></p> <p>CROS results indicate an increase in awareness and engagement in training. For example, in comparison with CROS 2015 (figures given in brackets) 82% reported that they were encouraged to engage in development (79%); 82% had undertaken training in research techniques (63%); 70% training in ethical research conduct (33%); 36% in interdisciplinary research (19%) and 45% in public engagement (19%)</p>	<p><b>Updated Action 3a</b> <b>A:</b> 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. <b>L:</b> Jennie Cripps, Researcher Development Co-ordinator <b>S:</b> 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><b>Updated Action 3b</b> <b>A:</b> 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. <b>L:</b> Professor Susan Brooks, Director of Researcher Development <b>S:</b> Improved response to relevant CROS and staff survey questions in comparison to 2017 results. For example, in comparison with CROS 2017 (figures</p>

	<p><b>Action 3c</b>  <b>A:</b> Launch of a new '<b>academic development framework</b>' linking research with teaching &amp; learning and leadership.  <b>L/D:</b> Professor Linda King, PVCr and Rhona Sharpe, Director of OCSLD / ongoing from September 2018; launch September 2019  <b>S:</b> Academic development framework launched</p> <p>We launched a new centrally-funded <b>research excellence awards (sabbatical) scheme</b> open to all research-active staff who are eligible for inclusion in the next REF, which also forms part of the <b>researcher development matrix</b>.</p> <p><b>Action 3d</b>  <b>A:</b> Run an annual call for applications for <b>research excellence awards</b>  <b>L/D:</b> Linda King, PVCr / November annually  <b>S:</b> Between 5 and 10 awards made annually</p>	<p>Academic Development Framework launched in 2017 ahead of plan <a href="https://www.brookes.ac.uk/OCSLD/Your-development/Career-development/Academic-Development-Framework/">https://www.brookes.ac.uk/OCSLD/Your-development/Career-development/Academic-Development-Framework/</a>  This includes the Researcher Development Matrix tailored to each career stage <a href="https://www.brookes.ac.uk/research/research-support/">https://www.brookes.ac.uk/research/research-support/</a></p> <p>Research Excellence Awards launched 2016. 23 awards made <a href="https://www.brookes.ac.uk/about-brookes/news/introducing-the-winners-of-the-inaugural-research-excellence-awards/">https://www.brookes.ac.uk/about-brookes/news/introducing-the-winners-of-the-inaugural-research-excellence-awards/</a>  32 Research Excellence Awards made in 2017 <a href="https://www.brookes.ac.uk/about-brookes/news/recipients-of-the-research-excellence-awards-2017/">https://www.brookes.ac.uk/about-brookes/news/recipients-of-the-research-excellence-awards-2017/</a></p>	<p>given in brackets) &gt;90% reported that they were encouraged to engage in development (82%); &gt;90% had undertaken training in research techniques (82%); &gt;80% training in ethical research conduct (70%); &gt;45% in interdisciplinary research (36%) and &gt;55% in public engagement (45%).</p> <p><b>Action complete</b></p> <p><b>Updated Action 3d</b>  <b>A:</b> Run an annual call in November for applications for research excellence awards  <b>L:</b> Linda King, PVCr  <b>S:</b> Between 20 and 30 awards made annually</p> <p><b>New Action 3e</b>  <b>A:</b> 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.  <b>L:</b> Susan Brooks, Director of Researcher Development  <b>S:</b> Revised programme includes new provision that satisfies any gaps identified in analysis, and &gt;80% attendees/participants in new or revised sessions report that the session meets their needs.</p>
2.4	<p>The university will continue to implement its redeployment policy <a href="http://www.brookes.ac.uk/services/hr/handbook/recruitment/related_policies_procedures/redeployment/">http://www.brookes.ac.uk/services/hr/handbook/recruitment/related_policies_procedures/redeployment/</a> to support researchers at the end of fixed term contracts.  (Alison Cross, Director of HR / ongoing)</p>	<p>Redeployment policy is still actively promoted. This practice is now embedded.</p>	<p><b>Action complete</b></p>
3.1	<p>Having received re-accreditation of Investors in People (IiP) Gold in December 2013, and, as a result, embedded best practice, we made the decision to focus on researcher-specific agendas, including HR Excellence in Research Award and</p>	<p>Staff Experience Strategy and action plan published March 2017 <a href="https://www.brookes.ac.uk/staff/staff-experience/">https://www.brookes.ac.uk/staff/staff-experience/</a></p>	<p><b>Action complete</b></p>

	Athena SWAN. IIP was replaced by a Staff Experience Steering Group, chaired by Anne-Marie Kilday, PVC Staff Experience. This will develop and monitor a programme of action to enhance the staff experience.		
3.2 3.4 3.5	In 2013-14, as a result of review of careers provision for researchers, an enhanced programme of events was offered. As part of this offering, a very successful university-wide 'researcher careers pathways' event ran in January 2014 and again in January 2016. It will continue as a two-yearly event.	A 'researcher careers pathways event' ran in January 2018, attendance increased by >20% since 2016 (96 registrants in 2018 and 76 in 2016). 95% of those who completed evaluations said that they would 'recommend it to others'.	<b>Action 12</b> <b>A:</b> The 'researcher careers pathways event' will continue as a two-yearly event, January 2019 and two-yearly thereafter. <b>L:</b> Jennie Cripps, Researcher Development Co-ordinator. <b>S:</b> >100 registrants and >90% report in feedback that they would 'recommend it to others'.
2.6 3.2 3.5 5.5 6.1-6.10	<b>Action 4a</b> <b>A:</b> Deliver a programme of annual promotion roadshows including, for the first time, 'successful researcher stories' highlighting part-time and female non-STEMM 'stories'. <b>L/D:</b> Susan Brooks, Research Training Co-ordinator and Linda King, PVCR / starting January 2017 <b>S:</b> Increase in proportion of female part time and non-STEMM readers and professors in Athena SWAN analysis in comparison to 2011/12 and 2014/15 data (see action 7).  <b>Action 4b</b> <b>A:</b> Develop a 'parent, carer, academic' role models booklet. <b>L/D:</b> Simonetta Manfredi, Director, Centre for Diversity Policy Research & Practice / ongoing for publication in May 2017 <b>S:</b> Publication of booklet, launch event  All of the above to be integrated into the new researcher development matrix (action 3).	Promotion roadshows, showcasing 'successful researcher stories' were run during 2017 and a further programme is already scheduled for 2018/19. Work on this action is ongoing.  The 'parent, carer, academic' booklet is complete and will be launched at an event on 13 <sup>th</sup> 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 have been developed, together with four short videos which feature some of our colleagues. The different formats have been developed to be used for a variety of training and development purposes.  Our newly appointed Researcher Development Co-ordinator, Jennie Cripps, has taken over curation of the new research webpages, including the training events calendar where these events will be advertised.	<b>Updated Action 4b</b> <b>A:</b> 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. <b>L:</b> Mieke Tyrell, Research Administrator, Centre for Diversity Policy Research (microsite); Alison Cross, Director of HR, (staff analysis). <b>S:</b> Microsite is live. Analysis indicates improved levels of applications for promotion from women, part-time staff and BME staff in comparison to 2018 baseline and that these staff groups are equally likely to have their applications approved.
3.8 4.14 5.4 5.5	A university-wide research staff mentoring scheme was developed and launched in April 2013 <a href="https://www2.brookes.ac.uk/research-support/mentoring">https://www2.brookes.ac.uk/research-support/mentoring</a> .  <b>Action 5</b> <b>A:</b> Develop and implement a communication plan to promote the use of the mentoring scheme for promotion advice as part of the researcher development matrix (action 3). <b>L/D:</b> Susan Brooks, Research Training Co-ordinator / throughout academic year 2016-17	Mentoring scheme has been promoted through face to face information sessions, email alerts and improved signposting through the new webpages. There were 39 mentor-mentee matches in the launch year 2013-14; 31 in 2014-15; 23 in 2015-16; and 36 in 2016-17. No mentees have specifically requested mentoring for promotion to date.  Our newly appointed Researcher Development Co-ordinator has taken over organisation of the research staff mentoring scheme and is currently	<b>Updated Action 5</b> <b>Action 5a</b> <b>A:</b> Develop on-line application forms/process for mentees and mentors This to include specific categories highlighting mentoring for promotion, and database of mentor skills including experience of promotion processes which will enable closer matching of mentee requirements with available expertise. Launch of on-line system June 2018; annual review of mentor-mentee matches April annually (prior to annual 'call' for applications in June). <b>L:</b> Jennie Cripps, Researcher

	<p><b>S:</b> Mentees specifically request mentoring to support an application for promotion (see also action 4).</p>	<p>reviewing and revising our publicity materials, application process and records. The PVCR has agreed that all University professors should be specifically invited to join as mentors, as part of their academic leadership remit, and there will be an expectation that they will do so.</p>	<p>Development Co-ordinator,  <b>S:</b> 2018-19 mentoring scheme administered through new on-line system highlighting possibility of mentorship for promotion and facilitating closer matching of mentees with mentors. Numbers of mentees annually remain steady, at approximately 25-35 mentees/year, or rise. We see mentees specifically requesting mentoring for promotion, with an aim of 5 mentees per year requesting this support.</p> <p><b>Action 5b</b></p> <p><b>A:</b> All University professors will be invited to engage with the research staff mentoring scheme as mentors, with an expectation that they will do so, through an email call from the PVC Research, June 2018.</p> <p><b>L:</b> Jennie Cripps, Researcher Development Co-ordinator and Linda King, PVCR</p> <p><b>S:</b> &gt;80% University Professors are registered as mentors by June 2019.</p>
7.2	<p>In 2011 and 2013, we took part in CROS but there was a disappointingly low level of research staff participation (16%). We reviewed how we encourage participation. We saw improved participation at 30% in 2015. Results were positive. For example, 79% of respondents agreed with the statement 'You are encouraged to engage in personal and career development' compared to 75% sector average; 40% of respondents reported having undertaken more than 6 days of training to enhance career development in the previous year compared to 21% sector average; and 76% of respondents reported that they were 'satisfied with the facilities and services provided by the university' (no sector comparison provided).</p> <p><b>Action 6</b></p> <p><b>A:</b> Deliver CROS in 2017 with a target participation rate of at least 30%</p> <p><b>L/D:</b> Chair of RKEC and Jill Organ, Graduate College / beginning October 2016 RKEC meeting</p> <p><b>S:</b> 30% or higher participation rate in CROS 2017</p>	<p>CROS 2017 responses again indicated a positive picture. 82% of respondents agreed with the statement 'You are encouraged to engage in personal and career development'; 36% of respondents reported having undertaken more than 6 days of training to enhance career development in the previous year; and 64% of respondents reported that they were 'satisfied with the facilities and services provided by the university'.</p> <p>However, disappointingly, CROS participation rate fell 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><b>Updated Action 6</b></p> <p><b>A:</b> Clearly identify, through HR records, researcher-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.</p> <p>Deliver CROS in 2019 with a target participation rate of at least 30%.</p> <p><b>L:</b> Jennie Cripps, Researcher Development Co-ordinator, Susan Brooks, Director of Researcher Development, and Faculty Research Managers.</p> <p><b>S:</b> 30% or higher participation rate in CROS 2019</p>
5.3	<p>Our commitment to public accountability and open access is overseen by the University Research Ethics Committee (UREC). We will continue to monitor compliance in terms of 'chasing' annual reports from those engaged in UREC-approved projects and reminding them of the importance of their public engagement obligations.</p> <p>We reported that in 2014 that we had a new Data Management Policy <a href="http://www.brookes.ac.uk/research/policies-and-codes-of-practice/">http://www.brookes.ac.uk/research/policies-and-codes-of-practice/</a> and a Position Paper on Open Access <a href="https://www2.brookes.ac.uk/research-support/open-access/index.html/">https://www2.brookes.ac.uk/research-support/open-access/index.html/</a> and at that time no further action was required.</p>	<p>Monitoring compliance is embedded.</p> <p>We have reviewed our training provision for researchers on research integrity and are 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 are currently working with our web team with a view to launch in January 2019. Engagement will eventually be a mandatory element of training for all researchers, but initially we will aim to</p>	<p><b>Action 13</b></p> <p><b>A:</b> 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 (see Action 12), March 2021.</p> <p><b>L:</b> Jennie Cripps, Researcher Development Co-ordinator, Susan Brooks, Director of Researcher Development</p> <p><b>S:</b> 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</p>

	This practice is now embedded	engage newly appointed researchers undertaking the 'Your First Three years' programme (see Action 12).	point for future development.
6.1-6.10	<p>The university was awarded institutional Athena SWAN 'Bronze' in 2012. The Faculty of Health and Life Sciences (FHLS) achieved Departmental 'Silver' in April 2014, the first of our four faculties to do so.</p> <p><b>Action 7</b>  <b>A:</b> Continued participation in Athena SWAN and achievement of the following awards:  <b>L/D:</b> Institutional award self assessment team headed by Linda King, PVCR / application in April 2016  <b>S:</b> Retention of Institutional 'Bronze' award under new charter.</p> <p><b>L/D:</b> FHLS steering group headed by Susan Brooks, Research Training Co-ordinator / ongoing for application in April 2018  <b>S:</b> Retention of Departmental 'Silver' award</p> <p><b>L/D:</b> The Faculty of Technology, Design and Environment (TDE) self assessment team led by Sean Wellington, Associate Dean Strategy and Development / ongoing for application in November 2016  <b>S:</b> Award of Departmental 'Bronze'</p> <p><b>L/D:</b> Faculty of Humanities &amp; Social Sciences (HSS) and Business self assessment teams to be established during 2016/17 for application in 2018/19  <b>S:</b> Award of Departmental 'Bronze'</p>	<p>We achieved a 'Bronze' Athena SWAN Institutional award under new, expanded charter in Nov 2016  <a href="https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/athena-swan/">https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/athena-swan/</a></p> <p>FHLS submitted their application for renewal of an Athena SWAN Departmental 'Silver' award, again under the new charter, in April 2018.</p> <p>TDE achieved Athena SWAN Departmental 'Bronze' under the original charter in November 2016.</p> <p>Self-assessment teams are established in our remaining Faculties of Humanities and Social Sciences, and Business.</p>	<p><b>Updated Action 7</b>  Continued participation in Athena SWAN and achievement of the following awards:</p> <p><b>A:</b> Institutional 'Bronze' renewal, application in April 2020.  <b>L:</b> Institutional award self assessment team headed by Linda King, PVCR.  <b>S:</b> Retention of Institutional Bbronze' award under new charter.</p> <p><b>A:</b> FHLS apply for renewal of their award in April 2022; if 'Silver' is achieved in 2018, FHLS will apply for 'Gold' in 2022.  <b>L:</b> FHLS steering group headed by Astrid Schloerscheidt, PVC/Dean FHLS  <b>S:</b> Retention of Departmental 'Silver' award in November 2018; award of 'Gold' in 2022.</p> <p><b>A:</b> TDE application for renewal of Departmental 'Bronze' under the new charter, November 2020.  <b>L:</b> TDE self assessment team led by Sean Wellington, AD Strategy &amp; Development  <b>S:</b> Retention of Departmental 'Bronze'</p> <p><b>A:</b> HSS application for Departmental 'Bronze' under the new charter, November 2019  <b>L:</b> HSS self assessment team led by Michelle Montgomey, AD Strategy &amp; Development  <b>S:</b> Award of Departmental 'Bronze'</p> <p><b>A:</b> Business application for Departmental 'Bronze' under the new charter, April 2019  <b>L:</b> Business self assessment team led by Andrew Halford, AD Strategy &amp; Development  <b>S:</b> Award of Departmental 'Bronze'</p>
6.9	<p>In 2014 we reported that we had a new 'Dignity and Respect at Work' policy.  <a href="http://www.brookes.ac.uk/services/hr/handbook/problems/dignity_respect_policy.html/">http://www.brookes.ac.uk/services/hr/handbook/problems/dignity_respect_policy.html/</a> and that all Bullying &amp; Harassment advisers receive training. No further action was required at that time.</p> <p><b>Action 8a</b>  <b>A:</b> Develop a policy and guidance on supporting trans* staff and students.  <b>L/D:</b> Jane Butcher, EDI adviser / by December 2016</p>	<p>Our Dignity and Respect at Work' policy was reviewed and re-launched in 2017 as our Policy and Procedure on Harassment and Bullying  <a href="https://www.brookes.ac.uk/documents/regulations/current/other/e23-policy-and-procedure-on-harassment-and-bullying/">https://www.brookes.ac.uk/documents/regulations/current/other/e23-policy-and-procedure-on-harassment-and-bullying/</a></p> <p>In 2017, we invested in the training of Staff Harassment Advisers in each Faculty who will act as a conduit to support and advise individuals who wish to raise concerns.</p> <p>Trans policy adopted May 2017  <a href="https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/equality-groups/transgender/">https://www.brookes.ac.uk/staff/human-resources/equality-diversity-and-inclusion/equality-groups/transgender/</a></p>	<p>No further action is required at this time.</p> <p>Action complete</p>

	<p><b>S:</b> Policy and guidance notes published</p> <p><b>Action 8b</b>  <b>A:</b> Develop an action plan to embed training and development for staff on gender identity and transgender issues.  <b>L/D:</b> Jane Butcher, EDI adviser / action plan by December 2016, training embedded by December 2018  <b>S:</b> Clear evidence within training materials of gender identity and transgender issues</p>	<p>Training and development for staff on gender identity and transgender issues embedded; for example:          Trans inclusion was the theme of the University celebrations of 2017 LGBT History month; this included a Trans Awareness Workshop.          Trans Equality Awareness Workshops ran in February 2017 for approx 30 staff in key influencing and student-facing roles across Faculties and Directorates.          Trans Awareness cascaded in HSS Staff Away Day, May 2017.          Trans Policy introduced in Brookes Leadership Programme, June 2017.</p>	
7.4	<p>A range of senior university staff will regularly attend Vitae events that assist in realising the potential of researchers.          (Linda King, PVCR / ongoing)</p> <p>The university Research Training Co-ordinator will continue to be an active member of the SE hub and participate in meetings and training events.          (Susan Brooks, Research Training Co-ordinator / ongoing)</p>	<p>Susan Brooks, a member of the HR Excellence in Research working group, now Director of Researcher Development, and other University staff continue to attend Vitae and other regional and national researcher development events. For example, SB attended and presented workshops at the 2016 and 2017 Vitae annual conferences and has submitted workshop proposals for the 2018 conference. She was elected Vitae regional Representative for the SE Region in 2017 and organised the Vitae SE region meeting at Oxford Brookes University in March 2018. She is active in SERD (South East Researcher Developers) Forum. In 2017 she received promotion to Professor in recognition of her work to support researcher development. This practice is now embedded.</p>	Action complete
7.5	<p><b>Action 9</b>  <b>A:</b> Introduce an annual analysis of research allocations within the workload plan (WLP) model to identify if there are any biases by protected characteristics. If biases are identified, put a corrective action plan into place  <b>L/D:</b> Alison Cross, Director of HR / December annually  <b>S:</b> Data analysis for next REF reveals no evidence of bias.</p>	<p>WLP audit planned underway in preparation for the next REF.          Project to replace WLP database underway to improve monitoring.</p>	

**Abbreviations:**

ADRKE – Associate Dean for Research and Knowledge Exchange

CROS – Careers in Research Online Survey

ECR – Early career researcher

EDI – Equality, diversity and inclusion

FHLS – Faculty of Health & Life Sciences

HSS – (Faculty of) Humanities and Social Sciences

HR – Human Resources

LGBT – Lesbian gay bisexual and transgender

OCSLD – Oxford Centre for Staff Learning Development

PVC – Pro Vice Chancellor

PVCR – Pro Vice Chancellor for Research & Global Partnerships

RDC – Research Degrees Committee

REF – Research Excellence Framework

RKEC – Research & Knowledge Exchange Committee

SAT – Self assessment team

SE – South east

SERD – South east researcher developers

STEMM – Science, technology, engineering, mathematics and medicine

TDE – (Faculty of) Technology, Design and Environment

UREC – University Research Ethics Committee

WLP – Workload plan