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The Association of Commonwealth Universities

CIRCLE Programme Report Series

CIRCLE Institutional Strengthening Programme
Progress Report July 2018

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Acknowledgements

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Cover Photo: Communication Skills and Proposal Writing Workshop. Image by Samuel Onoja, Michael Okpara University of Agriculture.

The Vitae Researcher Development Framework (RDF) and the RDF Materials

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Executive Summary

The CIRCLE Institutional Strengthening Programme (ISP) was developed with the purpose of enhancing the potential of CIRCLE Visiting Fellows (CVFs) to capitalise on the experience gained during their fellowship following their return to their home institution. Through targeted training and support, the ISP helps institutions involved in CIRCLE to strengthen support for early career researchers, creating a more enabling environment for both returning fellows and their peers, thereby helping to secure the long-term contribution of African scientists to the body of knowledge on climate impacts.

The primary objective of the ISP is to strengthen the capacity of participating universities to support and enhance the career progression of research staff early in their careers. The ISP aimed to achieve this objective by focusing on three areas: the provision of academic mentoring; institutional policies and frameworks; training and support provision.

The CIRCLE ISP programme is informed by the principles embodied in the UK's Concordat to Support the Career Development of Researchers and in the European Union's Charter for Researchers and it's Code of Conduct for the Recruitment of Researchers. .

Active participation in the ISP was a requirement for all CIRCLE home institutions as a condition of being able to nominate staff to undertake a CIRCLE Visiting Fellowship. Participation was optional for host institutions, although most elected to join the programme. In all, 31 institutions across 9 countries in Sub-Saharan Africa participated in the ISP.

Upon joining the ISP, institutions nominated members of staff to become ISP Champions, forming their ISP Implementation Teams. ISP goals require actions to strengthen provision for all researchers in the institution, not only those in the areas of climate change. Therefore, members of the ISP Implementation Group were expected to be in a position of influence to enable Institutional Strengthening across the institution, and plan for the sustainable future of the ISP. At the inaugural Champions meeting in February 2015 participants explored the UK Concordat to Support the Career Development of Researchers and agreed to use this in the CIRCLE ISP process. Champions then carried out in-depth institutional gap analyses, including identification of common needs and challenges, based on their interpretation of the UK Concordat Principles. Champions were asked to consider their strategic goals, review current provision for each Principle in relation to strategic goals and identify gaps in provision in relation to these strategic goals.

The ISP Implementation Teams designed action plans, with detailed activities aimed at addressing the gaps identified in their gap analysis. Not only were they required to set actions, ownership and timelines to implement the actions, but they were also asked to ensure that they consistently review their progress as the programme developed.

Throughout the programme, ISP Implementation Teams received training designed to respond to common needs and challenges identified. Provision was made for the universities to have access to regular consultancy from Vitae throughout 2015, 2016 and 2017 and institutions were required to regularly report on progress made in the implementation of their ISP Action Plans.

In 2018, all institutions were formally invited to reapply for the extended programme and were required to submit detailed data on institutional developments, achievements and challenges in the design and delivery of their ISP Action Plans. 20 institutions successfully reapplied to take part in the extended programme.

The reapplication process allowed CIRCLE to collect additional data on the changes in policy and practise taking place across CIRCLE institutions and the factors that have been barriers to change in the successful implementation of ISP Action Plans. This report presents an analysis of data submitted in July 2018 by the 20 successful institutions during this reapplication process, as well as a review of our targets based on the new data. Of the 360 actions outlined in the 20 CIRCLE ISP Action Plans, by July 2018, 142 actions (39%) were fully completed, 124 were partially completed (34%), 57 were not completed (16%) and the status of 37 (10%) actions were not provided.

Just over half of all actions outlined in ISP Action Plans focused on Concordat Principles 3&4: Support and Career Development (183). The second largest proportion of actions were outlined under Principle 5: Researcher Responsibility (54), All other actions were roughly evenly distributed across remaining principles: Principle 1: Recruitment and Selection (25), Principle 2: Recognition and Value (34), Principle 6: Equality and Diversity (30) and Principle 7: Implementation and Review (34).

The Principle with the highest proportion of completed activities was Principle 7: Implementation and Review (53%) followed by Principle 5: Researcher Responsibilities (46%). The Principle with the smallest proportion of completed activities was

Principle 6: Equality and Diversity (27%). Actions addressing wider institutional policy are less likely to have been completed, with 24% of actions under Principle 1: Recruitment and Selection and 23% of actions under Equality and Diversity not being completed at all.

Specialist institutions had a slightly higher proportion of completed actions than those with a broader academic remit (41% vs 38% respectively). ISP Implementation Teams with 9+ members reported a higher proportion of successfully completed actions (54%) compared to 36% of those reported by teams consisting of 6-9 members and just 29% of those reported by teams with 2-5 members. ISP Implementation Teams with VC/DVCs as members reported a much higher proportion of completed actions than those without (52% vs 36% respectively). Teams with VCs/DVCs also reported a much lower proportion of Partially completed actions, although it should be noted that the status of 19 actions by teams with VCs/DVCs, and 18 actions by teams without VCs/DVCs were unreported at the time of analysis.

The most commonly reported Type of action was general Support Provision Improvement (126 actions), followed by Training (79), Policy Development/Change (52), and Awareness Raising (40). The largest proportion of actions of every Type fell under Principles 3&4: Support and Career Development, with the exception of Institutional Targets, where the same number of actions fell under Principle 5: Researcher Responsibilities.

The majority of Monitoring and Evaluation actions were completed, with 60% of the actions completed, and 20% partially completed at the time of reporting. Other generally successful types of action included Needs Assessment/Review (57% completed, 29% partially completed), Training (47% completed, 34% partially completed), and wider Institutional Targets (44% completed and 44% partially completed). Actions addressing actual improvement to support provision were largely mixed, with 37% completed and 36% partially completed.

The most commonly reported Topic of actions was Mentoring (59 actions), followed by Career Development and Research Outputs (45) and Researcher Development (44). Wider institutional topics such as Equality & Diversity (25), Salaries, Payscales and Staff Benefits (23) also received high numbers of actions. Actions addressing specific activity in the delivery of CIRCLE (i.e. the Fellowships and the ISP team) were more likely to be reported as completed (78%), followed by those addressing Researcher Development (64%). Although a high proportion of actions addressing New staff orientation were reported to be completed (42%), 33% were not completed at all.

Resource limitation was identified as the main barrier in action completion for 10 actions, specifically the time allocated to ensure the action is completed and financial support needed for its delivery. Responsibility for 10 other actions had been delegated to other departments, specifically HR Departments or to Senior Management, limiting the ability of the team to influence outcome. Other barriers identified included the need for further training or information sharing, complex bureaucratic processes in making institutional change, the need for more discussion with key member of university staff, and the need for senior support before actions can be considered by the wider institution.

It is evident that there are several factors affecting successful implementation of CIRCLE ISP Action Plans, namely the scope of the action, the type of action, the size and composition of ISP Implementation Teams and involvement of VC/DVCs. With all ISP Implementation Teams now including CVF Alumni and a letter of formal support and recognition from their VC/DVC, it is hoped that further progress in the implementation of partial and incomplete actions, as well the development of new actions, can now take place.

A total of 124 actions (34%) were reported to be only partially completed, with institutions highlighting that resource limitation was the key factor, specifically staff time, need for senior support and the apparent need for financial support to ensure delivery. With CIRCLE scheduled to close in March 2019, the programme will focus on low-cost sustainable activities that can help institutions to fully implement their actions. In addition to another round of the CIRCLE ISP Implementation Fund, the need for cost-effective solutions to barriers in ISP Action Plan implementation will be reiterated. Emphasis on management and delegation of responsibilities, both within the ISP teams and with departments outside of the teams is much needed and will help the ISP Implementation Teams to consider longer-term solutions to overcoming obstacles at their institution.

Background to the CIRCLE Institutional Strengthening Programme (ISP)

Why the ISP was developed

Experience from existing international postgraduate scholarship and fellowship schemes, including those run by the Commonwealth Scholarship Commission in the UK (CSC), indicates that, where a returning scholar or fellow works in an academic role, the long-term impact of any scholarship or fellowship programme is in large part determined by the institutional context into which the scholar or fellow returns. After spending time working and/or studying in another country, many African academics struggle to establish successful research careers after returning to institutions that, for a wide variety of reasons, either constrain or do not adequately support their career and professional development. The importance of providing targeted professional development support to early career researchers, and especially in the form of academic mentoring, was also borne out by the Nairobi Process– a series of research reports conducted by the ACU in partnership with the British Academy.[1]

To address this issue, the CIRCLE Institutional Strengthening Programme (ISP) was developed. The purpose of the ISP was to help the home institutions to create a more enabling environment in which the returning fellows' research could flourish over the long-term. This would enhance the potential of the CIRCLE Visiting Fellows (CVFs) to capitalise on the experience gained during the fellowship, build successful research careers, and share their expertise, thereby helping to secure the long-term contribution of African scientists to the body of knowledge on climate impacts. Active participation in the ISP was a requirement for all CIRCLE home institutions as a condition of being able to nominate staff to undertake a CIRCLE Visiting Fellowship. Participation was optional for host institutions, although most elected to join the programme. In all, 31 institutions across 9 countries in Sub-Saharan Africa participated in the ISP.

The CIRCLE ISP is informed by the principles embodied in the UK's Concordat to Support the Career Development of Researchers (the Concordat) and in the European Union's Charter for Researchers and its Code of Conduct for the Recruitment of Researchers.

ISP Objective

The primary objective of the ISP is to strengthen the capacity of participating universities to support and enhance the career progression of research staff early in their careers. The ISP aimed to achieve this objective by focusing on three areas: academic mentoring; institutional policy policies and frameworks; training and support provision. The ISP is in effect an institutional change process.

The ISP in practise

The ISP Implementation Teams

Upon joining the ISP, institutions nominated members of staff to become ISP Champions, forming their ISP Implementation Teams. ISP goals require actions to strengthen provision for all researchers in the institution, not only those in the areas of climate change. Therefore, members of the ISP Implementation Group were expected to be in a position of influence to enable Institutional Strengthening to deliver sustainable change across the institution.

ISP Champions were asked to nominate an ISP Team Lead and were tasked with deciding how to involve members from important institutional groups and/or committees so that the ISP can embed change in wider institutional business. ISP Implementation Teams varied in composition with a combination of academic leads, Human Resources and finance personnel and included the Mentoring Trainer and RDF Coordinator roles following attendance at Training of Trainers' activities. In many cases, institutions added the CVFs to their implementation teams after their return from the fellowship.

Through a series of face-to-face workshops, webinars and sharing of online resources, these teams were introduced to a range of existing policies, frameworks and tools that had been effective in the UK and elsewhere in driving capacity building and were invited to adapt them for the African context. Selected members of the implementation teams were also invited to participate in training of trainer workshops focussed on delivering mentoring training and in establishing and growing a professional development programme.

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[1] The Nairobi Process Report Series can be found on the https://www.acu.ac.uk/focus-areas/early-careers/nairobi-process

The ISP Gap Analysis and Development of ISP Action Plans

At the inaugural Champions meeting in February 2015 participants explored the UK Concordat to Support the Career Development of Researchers (the Concordat) and agreed to use this framework as a point of reference in the CIRCLE ISP process. Our Champions then carried out in-depth institutional gap analyses,[2] including identification of common needs and challenges, based on an adapted version of the UK Concordat Principles.[3] Champions were asked to consider their strategic goals, review current provision for each Principle in relation to strategic goals and identify gaps in provision in relation to these strategic goals.

The Implementation Teams then designed comprehensive action plans aimed at addressing the gaps identified in their gap analysis with ownership and timelines specified for all actions. Teams were also asked to ensure that they consistently review their progress as the programme developed.

Throughout the programme, ISP Implementation team members received training designed to respond to common needs and challenges identified.[4] Regular consultation with Vitae was encouraged throughout 2015, 2016 and 2017, and institutions were required to regularly report on progress made in the implementation of their ISP Action Plans.

This enhancement-led approach enabled institutions to benchmark themselves and self-reference progress in a structured way, rather than by comparison with other institutions. This approach was effective and appropriate as institutions started from different stages in developing career support for researchers and had access to varying levels of resourcing to support their progress. They each therefore progressed at a different pace.

As the ISP progressed, an important difference between the UK and African contexts emerged. The UK and European gap analysis processes assume that institutions will develop action plans for all Principles at the same time. UK institutions involved in similar institutional strengthening initiatives in the past have been well placed to carry out simultaneous actions addressing the requirements of all the Concordat Principles, mostly due to numerous pre-existing resources and supportive infrastructures, but this was not possible for the institutions in the CIRCLE ISP for reasons of culture, resources and infrastructure. While CIRCLE institutions were able to provide coverage of all Concordat Principles, the highest number of new activities fell under Principles 3 & 4: Support and Career Development. It became apparent that when an institution initially focuses an action within Principles 3 & 4, they would need to link this action to further, sequential actions under the other Concordat Principles in order to effect wider institutional change. For example, when an institution aims to enhance mentoring capacity at their institution, their action may prioritise how to build the competencies of mentors and mentees within their institution (Principles 3 & 4). In addition to this focused action, before learning can be efficiently embedded across the institution they would also have to undertake a series of additional, linked actions such as producing quality assessment criteria, reviewing recruitment criteria or writing mentoring responsibilities into promotion criteria. Due to a range of dependencies, contextual considerations and resource constraints, these actions would typically need to be pursued one at a time, building cumulatively on the success of one to make progress in another. This stands in contrast to the European experience where greater human and financial resources and external policy drivers permitted and encouraged activities across all Principles to be pursued in parallel.

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[2] Champions were provided with a Gap Analysis template based on requirements of the UK HR Excellence in Research Award.
[3] See Annex 1 for overview of the Concordat Principles.
[4] Training and bespoke support to strengthen support within the participating institutions is provided by our partner, Vitae.

See below figure as an illustration of this approach:

CIRCLE Institutional Strengthening Radial Planning Tool

Start with one ISP action and build your institutional strengthening plan outwards by identifying the actions that are related to its success within other Principles

Principle 5
Researchers' Responsibilities

Researchers advised and understand their responsibility to arrange meetings with mentors, about setting agenda and taking actions on basis of mentoring guidance

Principle 1
Recruitment and Selection

Review recruitment criteria for supervisors to assess mentoring skills

Principle 6
Diversity and Equality

Provide training in unconscious bias and equality policies of the university and included these policies on the website

ISP Action
Put in place Mentoring training for supervisors

Principle 2
Recognition and Value

Recognise and value mentors by including this in their promotion criteria and their workload

Principle 7
Implementation and Review

Monitor and evaluate:
- quality of mentoring
- benefit of mentoring
- uptake of mentoring

Principle 3 & 4
Support and Career Development

Train researchers in how to make the best of mentoring
Provide training in professional development planning using the RDF
Provide Policy on mentoring
Develop programme of training mapped to needs of researchers evidenced through mentoring

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Figure 1 – Illustration of the CIRCLE ISP Approach

The CIRCLE Lens on the Vitae Researcher Development Framework

The Vitae Researcher Development Framework (RDF) is an internationally recognised framework for the development of researchers' competencies for the diversity of skills required to create excellent research with impact. The Vitae Researcher Development Framework (RDF) is structured into four domains covering the knowledge, behaviours and attributes of researchers. It sets out the wide-ranging knowledge, intellectual abilities, techniques and professional standards expected to do research, as well as the personal qualities, knowledge and skills to work with others and ensure the wider impact of research. Within each of the domains there are three sub-domains and associated descriptors.
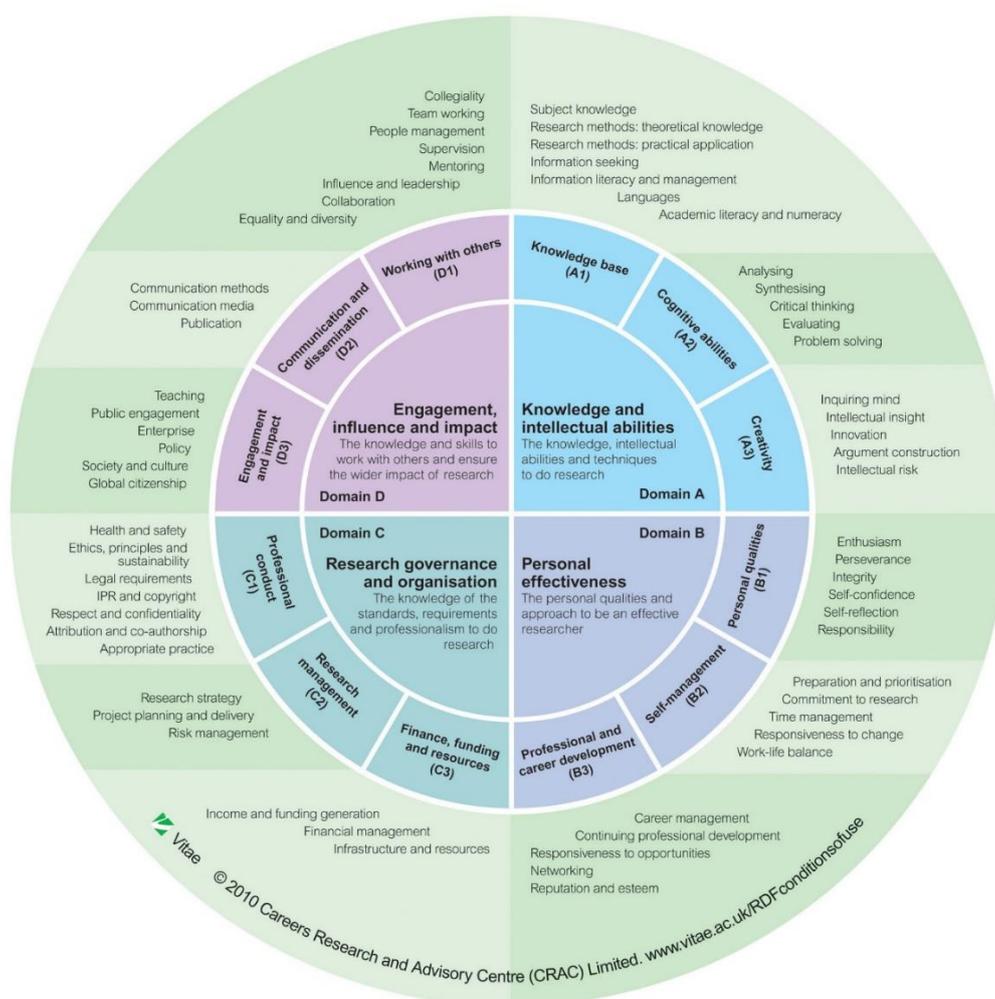
Figure 2 - The Vitae Researcher Development Framework model

As part of the CIRCLE workshops, all participants, including Fellows and ISP Champions, reviewed the RDF to identify priority competencies for CIRCLE from both a strategic and a personal point of view. Based on this review, a CIRCLE Lens was developed, identifying career development priorities for CIRCLE – see Figure 3. This lens was used by the Champions and the Fellows to inform the design of institutional support programmes and enable individuals to prioritise their own professional development needs. Other lenses highlighting the different competencies for supervision and mentoring were also developed to support mentoring training programmes.
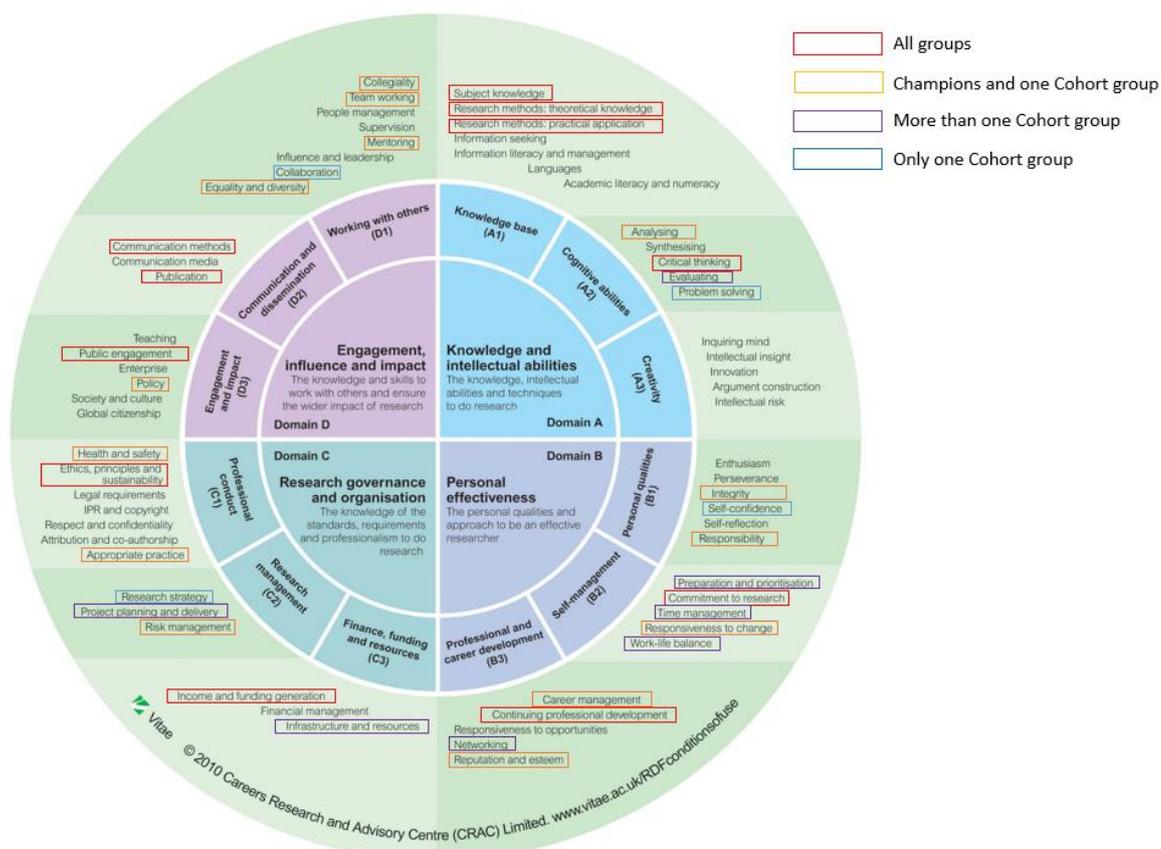
Figure 3 - CIRCLE RDF Lens identifying aims for CIRCLE by participant group

These aims helped guide the training workshops, content and support provided by Vitae and the wider programme to support institutional strengthening.

It is interesting to note that whilst there was general consensus between ISP Champions and CVF in terms of competencies important to CIRCLE, there was a wider variation by the CVF groups. This outcome can be viewed from 2 perspectives; firstly those of the Champions who looked at competencies from an institutional strategic perspective, secondly from a CVF researcher perspective of their career development needs. Both perspectives are relevant to ISP action plan development areas in strategy, policy , support and provision.

The CIRCLE Extension and the ISP

The ISP ran parallel to the Fellowship programme until March 2018, when the CIRCLE Programme was scheduled to close. DFID granted a one-year no-cost extension to continue the ISP and further monitor the impact of the wider programme. All institutions were formally invited to reapply for the extended programme and were required to submit detailed data on institutional developments, achievements and challenges in the design and delivery of their ISP Action Plans. 20 institutions successfully reapplied to take part in the extended programme.

A structured monitoring framework has been developed to better assess and evaluate the impact of the ISP across the institutional network, guided by current progress in delivery of the ISP Action Plans. Each institution will be supported to set revised targets and actions to further embed the ISP and build on achievements made within the programme so far. These targets will be revisited and evaluated throughout the extension period and updated where necessary.

Data covered in this report

All institutions previously involved in the CIRCLE Institutional Strengthening Programme (ISP) were formally invited to reapply for the extended programme and were required to submit detailed data on institutional developments, achievements and challenges in the design and delivery of their ISP Action Plans. If already developed, institutions were also asked to provide a new ISP Action Plan for 2018-19, with outlines of targets and actions based on the revised comprehensive monitoring framework, designed to effectively measure the impact of the ISP on institutional policy and support for early career researchers.

20 institutions were selected to take part in the extended programme based on a consistent level of engagement throughout the earlier stages of the CIRCLE project and their forward plans.

The reapplication process has allowed CIRCLE to collect in-depth data on the changes in policy and practise taking place across CIRCLE institutions and the factors that have been barriers to change. This has enabled the project to contribute further to our understanding of how to strengthen institutional capacity to support the undertaking of high-quality research into climate impacts in Africa – one of the project's intended outcomes.

This report primarily presents an analysis of data submitted by the 20 successful institutions during the reapplication process in July 2018, as well as a data collected and analysed in previous CIRCLE annual reports.

CIRCLE Logframe indicators

CIRCLE is required to provide an update on progress against Output and Outcome Indicators within our programme logframe when reporting to our funder, the UK Department for International Development (DFID). The CIRCLE logframe includes three Outcome Indicators that are directly related to the CIRCLE Institutional Strengthening Programme. CIRCLE has consistently met Logframe targets and new targets for 2018-19 have been developed to reflect earlier success.

This section reviews progress against these indicators, with supporting information from our institutions.

Table 1 - CIRCLE ISP Logframe Indicators

OUTCOME INDICATOR	BASELINE DATA 2015	TARGET 2019	CURRENT TOTAL
OUTCOME INDICATOR 2.1: NUMBER OF INSTITUTIONS THAT HAVE STRENGTHENED THEIR PROVISION OF ACADEMIC MENTORING FOR EARLY CAREER RESEARCHERS.	3 institutions had formal mechanisms in place to mentor early career researchers effectively.	18 institutions to have formal mechanisms in place to mentor early career researchers effectively.	20 institutions with formal mentoring mechanisms in place to mentor early career researchers effectively. 19/20 institutions reported are currently involved in the CIRCLE Extension.
OUTCOME INDICATOR 2.2: NUMBER OF INSTITUTIONS THAT HAVE STRENGTHENED INSTITUTIONAL POLICIES AND FRAMEWORKS FOR CAREER AND PROFESSIONAL DEVELOPMENT PLANNING FOR RESEARCH STAFF.	5 institutions had policies and/or strategies for supporting career and professional development planning in place at the start of the programme.	15 institutions to have policies and/or strategies in place for supporting career and professional development of research staff.	14 institutions have indicated that they currently have policies and/or strategies formally in place at their institution, and an additional 4 institutions reported having draft policies awaiting approval. 12/14 institutions reported are currently involved in the CIRCLE Extension.
OUTCOME INDICATOR 2.3: NUMBER OF INSTITUTIONS WITH STRENGTHENED TRAINING AND SUPPORT PROVISION FOR EARLY CAREER RESEARCHERS.	17 institutions indicated that the delivery of professional development opportunities for staff was satisfactory or poor.	16 institutions to have increased the quality and quantity of training and support offered to ECRs compared with the start of the programme.	24 institutions reported an increase in the quality and quantity of training and support offered to ECRs compared with the start of the programme. Institutions also self-reported on how they had increased this support. 20/24 institutions reported are currently involved in the CIRCLE Extension.

Outcome Indicator 2.1: Number of institutions that have strengthened their provision of academic mentoring for early career researchers.

Target: 18 institutions to have formal mechanisms in place to mentor early career researchers effectively.

In the CIRCLE 2017-18 Annual Report, we reported that 14 institutions had formal mechanisms in place, with a further 3 institutions in the process of formalising mechanisms. 1 of the 14 institutions that reported formal mechanisms in 2017-18 is no longer involved in CIRCLE.

Table 2 - Institutions reported under Outcome Indicator 2.1 in CIRCLE 2017-18 Annual Report

NO	MECHANISM IN PLACE
1	Mentorship policy developed and in place.
2	Development of mentoring guidelines and training provision.
3	Mentoring relationships established and monitored.
4	Mentoring relationships established and regularly take place. Regular seminars and training on mentoring.
5	PhD Supervisor appointment process reviewed to include consideration of experience and expertise needed to effectively mentor ECRs.
6	Mentoring relationships established and monitored. Training delivered.
7	Mentor and Mentee Handbook and policy produced and distributed. Training delivered.
8	Mentoring policy has been developed.
9	Mentoring relationships established and monitored. Scaling up of scheme proposed.
10	Mentoring relationships established and monitored.
11	Mentoring programme already developed and monitored by Guidance & Counselling unit.
12	Mentoring policy has been developed.
13	Emerging Researcher Programme (ERP) delivers mentoring sessions.
14	Mentoring policy has been developed.

As of September 2018, a further 6 institutions now report the establishment of formal mentoring mechanisms:

Table 3 – Additional institutions reported under Outcome Indicator 2.1 in CIRCLE as of September 2018

NO	MECHANISM IN PLACE
15	Mentoring relationships established and monitored.
16	Small-scale mentoring relationships established and monitored. Mentoring policy awaiting approval.

17	Mentoring relationships established and monitored.
18	Mentoring relationships established. Strategy and quality assurance guidelines in development.
19	Mentoring relationships established and monitored.
20	Mentoring relationships established and monitored.

19/20 institutions reported are currently involved in the CIRCLE Extension. Supporting evidence for reported mechanisms is in the process of being collected.

Outcome Indicator 2.2: Number of institutions that have strengthened institutional policies and frameworks for career and professional development planning for research staff.

Target: 15 institutions to have policies and/or strategies in place for supporting career and professional development of research staff.

In the 2017-18 CIRCLE Annual Report, we reported that 13 institutions had policies and/or strategies drafted/in place for supporting career and professional development of research staff and 11 of those 13 institutions continue to participate in the ISP through the extension.

Table 4 – Institutions reported under Outcome Indicator 2.2 in CIRCLE 2017-18 Annual Report

NO	POLICY/STRATEGY DRAFTED/IN PLACE	STATUS
1	Research Policy	Drafted
2	Career Path Development Strategy, Research Policy	In place
3	Research Policy	In place
4	Staff Effort and Compensation Policy	Drafted
5	Staff Development Scheme	In place
6	Career and Professional Development Policy	Drafted
7	Researcher Development Policy	Drafted
8	Mentoring Policy	Drafted
9	Policy for soft-funded researchers, Career Development	In place
10	University Appointments and Promotions Policy, New Starters Policy, Plagiarism Policy	In place
11	Mentoring Policy	Drafted
12	Mentoring Policy	Drafted
13	Internal Research Funding Policy	In place

For this reporting year, CIRCLE will report on the number of policies/strategies now formally in place. As of September 2018, 14 institutions have indicated that they currently have policies and/or strategies formally in place at their institution, and an additional five institutions reported having draft policies awaiting approval. Four institutions have had drafted policies formally put into place since their previous report.

Table 5 – Institutions reported under Outcome Indicator 2.2 in CIRCLE as of September 2018

NO	POLICY/STRATEGY DRAFTED/IN PLACE	STATUS
1	Research Policy	In place
2	Staff Development Policy	In place
3	Career Path Development Strategy, Research Policy	In place
4	Research Policy	In place
5	Staff Effort and Compensation Policy	In place
6	Staff Development Strategy	In place
7	Staff Development Strategy	In place
8	Mentoring Policy	In place
9	Career Development Policy	In place
10	Policy for soft-funded researchers, Career Development	In place
11	Mentoring Policy	In place
12	University Appointments and Promotions Policy, New Starters Policy, Plagiarism Policy	In place
13	Mentoring Policy	In place
14	Internal Research Funding Policy	In place
15	Mentoring Policy	Drafted
16	Career and Professional Development Policy	Drafted
17	Researcher Development Policy	Drafted
18	Mentoring Policy	Drafted
19	Mentoring Policy, Researcher Development Strategy	Drafted

12/14 institutions reported are currently involved in the CIRCLE Extension. Supporting evidence for reported policies/strategies is in the process of being collected.

Outcome Indicator 2.3: Number of institutions with strengthened training and support provision for early career researchers.

Target: 16 institutions to have increased the quality and quantity of training and support offered to ECRs compared with the start of the programme.

In the CIRCLE 2017-18 Annual Report, 21 institutions reported an increase in the quality and quantity of training and support offered to ECRs compared with the start of the programme. Institutions also self-reported on how they had increased this support.

Table 6 - Institutions reported under Outcome Indicator 2.3 in CIRCLE 2017-18 Annual Report

NO	DETAIL
1	We have helped and continue to help our ECRs on planning for fieldwork, workshops and facilitating workshops; we have also involved them in data collection and analysis as well as report writing, writing a conference presentation and sharing research findings at a conference.
2	More workshops have been organized.
3	We reengaged retired senior researchers and involved senior researchers in developing training modules and training researchers.
4	Improved access to the Tertiary Education Fund institution-based research grants.
5	In collaboration with the research development and quality assurance office, different capacity building training has been providing and CIRCLE has played the great role in facilitating those events.
6	Provided resources for training workshops of early career researchers. Provided resources for acquisition of resources and software that benefits ECRs. e.g. majority of those trained in STATA use are ECRs. Widened the pool of expertise engaged in the training to include both internal and external consultants. Provided more resources for ECRs to attend conferences.
7	[We have] increased the quality and quantity of training and support to ECRs by setting up a committee that reviews the various research topics chosen by the ECRs in that appropriate learned and experienced supervisors are identified and employed for the ECRs. Meetings are organised for the ECRs to find out the challenges confronting them, and hence appropriate measures are put in place and as a result, solutions are always found to address the challenges.
8	Through provision of the staff development scheme.
9	By improving their scientific writing skills. We have now seen an increment in the publications.
10	At least four researchers got the CIRCLE grant, published their work (one) and one got a PhD training.
11	We invite peers and mentees who have succeeded in developing themselves to lead monthly sessions.
12	The Directorate of Continuing Education and Professional Development has been organizing training for career development. The trainings include how to access information, proposal and project writing, use of software for different purposes and more.
13	The induction and mentoring of ECRs has been prioritised and the ISP is looked up to provide guidance for the University.
14	Strengthening of training and in-service training.
15	By ensuring close supervision and interactions with home institutions.

16	We have an upcoming training on proposal development.
17	ECRs have been given the opportunity to explore ECR programmes within and outside the University.
18	The University Research office conducts workshops for supervisors, emerging researchers and postgraduates on research related aspects.
19	More ECRs are been exposed than before and experienced researchers are more supportive than before.
20	Many young researchers have been given in job and degree training opportunities.

As of September 2018, a further 3 institutions have confirmed that there has been an increase in the quality and quantity of training and support provision for early career researchers.

Table 7 – New institutions reported under Outcome Indicator 2.3 in CIRCLE as of September 2018

NO	DETAILS
22	These trainings now come off every semester for all campuses of the University. They are planned ahead, and staff are well informed. Most importantly, the University see these early career researcher development activities are essential.
23	We have had an encouraging increase in number of fellowships and grants since the University got involved in CIRCLE. We had some of our staff listed among 800 Nigerian Scientists.
24	The quality and quantity of training and support has increased for early career researchers by inviting high profile scholars from country and abroad.

13 (42%) institutions report having formal assessment and evaluation methods in place to assess the quality of training and support for early career researchers, with 2 institutions (6%) reporting that quality is determined through information anecdotes and information sharing. 16 institutions have not indicated how training is assessed within their institution and further information has been requested.

Supporting evidence for reported training and training assessments has been provided. 20/24 institutions reported are currently involved in the CIRCLE Extension.

Progress in implementing the ISP Action Plans

As part of the reapplication process, institutions were required to provide updates on their last submitted ISP Action Plan. ISP Action Plans were developed in 2015, with implementation throughout 2016 and 2017. Institutions added new actions throughout the programme, but original actions were often retained to monitor progress. CIRCLE extracted all actions from the latest ISP Action Plan submitted by each institution for analysis. A total of 360 actions were outlined across 20 ISP Action Plans.

Of the 360 actions outlined in the CIRCLE ISP Action Plans, 142 actions (39%) were fully completed, 124 were partially completed (34%), 57 were not completed (16%) and the status of 37 (10%) actions were not provided. See below for a summary list of the number of actions identified by each institution and their statuses. As will become clear from the analysis below of the different types and themes of the actions, not all actions are directly comparable in terms of their scope and scale or of the magnitude of work required to complete them. This analysis does not therefore permit any value judgements to be made of progress and this needs to be kept in mind when considering the completion rates of actions within the various plans.

Table 8 - List of institutions by country, with number of actions and status %

COUNTRY	NO. ACTIONS	% COMPLETED	% PARTIALLY COMPLETED	% NOT COMPLETED	% UNKNOWN
ETHIOPIA	9	0%	56%	22%	22%
	1	0%	0%	100%	0%
	27	4%	56%	41%	0%
GHANA	38	16%	50%	29%	5%
	31	35%	0%	3%	61%
	44	59%	14%	9%	18%
	11	73%	9%	9%	9%
KENYA	31	29%	61%	6%	3%
	3	67%	33%	0%	0%
NIGERIA	8	25%	63%	13%	0%
	10	40%	10%	50%	0%
	9	56%	44%	0%	0%
	24	63%	33%	0%	4%
	6	83%	0%	17%	0%
	14	100%	0%	0%	0%
SOUTH AFRICA	7	0%	29%	71%	0%
	11	36%	36%	27%	0%
TANZANIA	21	48%	38%	5%	10%
UGANDA	20	40%	40%	20%	0%
ZIMBABWE	35	34%	51%	11%	3%

To help determine which variables influence the success of ISP Action Plan implementation, actions have been analysed by **Concordat Principle, Country of institution**, **Focus of the institution**, **Age of the institution**, and **ISP Implementation Team Membership**. In addition, all actions were also assessed by the **Type of action**, and the **Topic of the action** to evaluate which actions were more successful than others.

Concordat Principles

ISP Champions were requested to structure their action plans around the 7 Concordat Principles.[5] The percentage of actions by Principle is provided in the graph below.


Figure 4 - Chart to show division of all actions by Concordat Principle
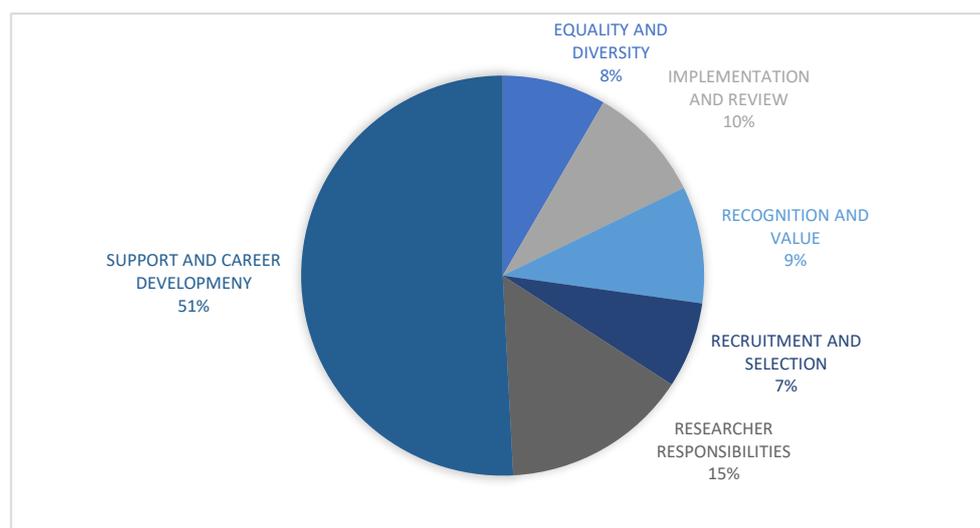
Just over half of all actions outlined in ISP Action Plans were focused on Concordat Principles 3&4: Support and Career Development (183). The second largest proportion of actions were outlined under Principle 5: Researcher Responsibility (54), All other actions were roughly equally distributed across the remaining principles: Principle 1: Recruitment and Selection (25), Principle 2: Recognition and Value (34), Principle 6: Equality and Diversity (30) and Principle 7: Implementation and Review (34).

Concordat Principle focus was analysed by the country in which the institutions were based. As the number of institutions vary drastically by country, it is difficult to analyse reported actions using this variable. This data can however provide a broad overview of focus.
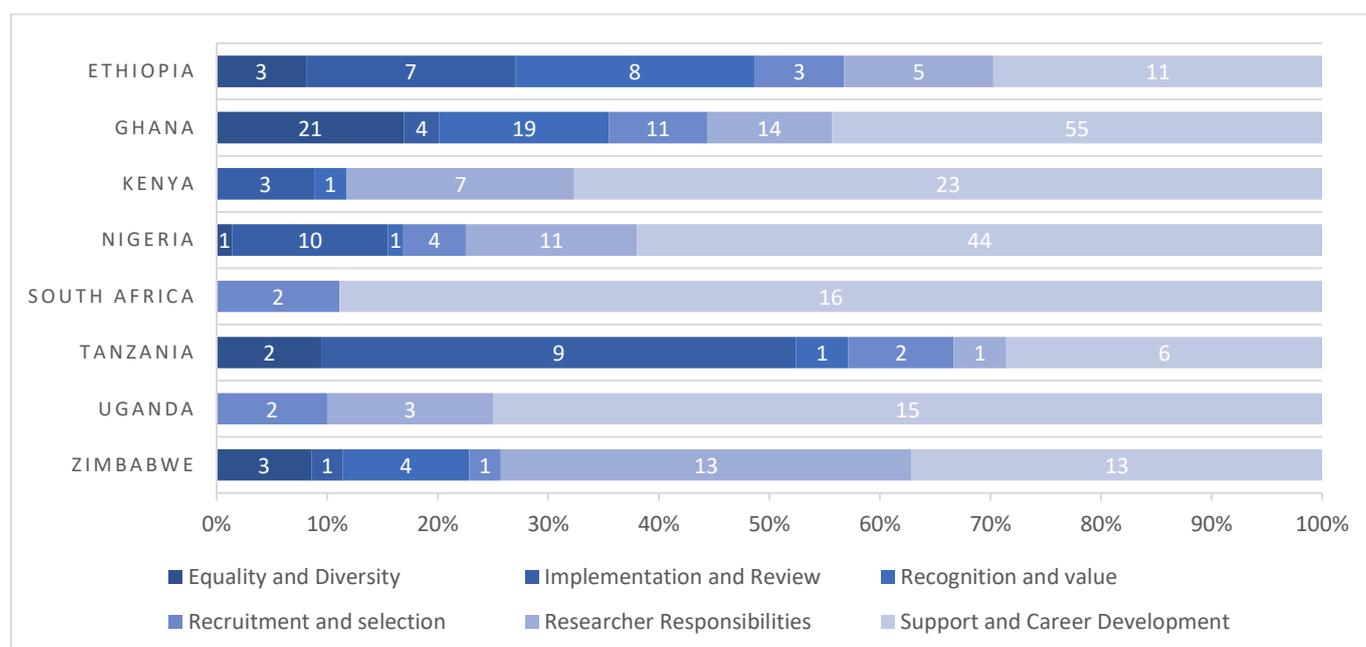

Figure 5 - Actions reported by institutions categorised by country and by Concordat Principle

Institutions in all countries except for the one based in Tanzania focused most of their actions on Principles 3&4: Support and Career Development. Principle 6: Equality and Diversity was not addressed by any institutions based in Kenya, South Africa or Uganda and Principle 2: Recognition and Value was not addressed by any institutions in South Africa or Uganda.

The status of actions has been categorised by Concordat Principle below:
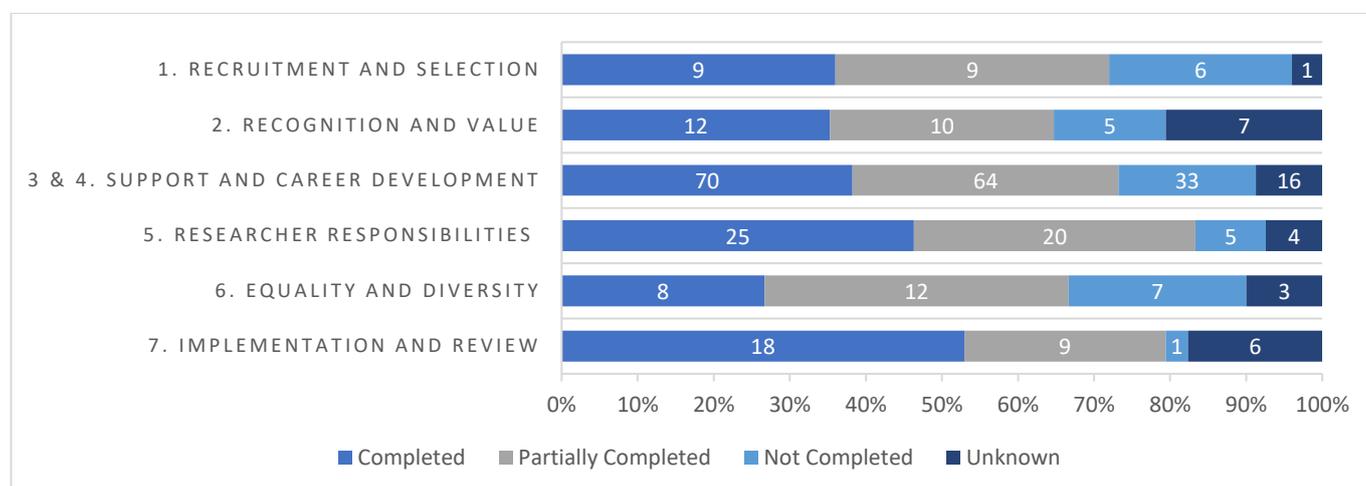
Figure 6 - Status of actions categorised by Concordat Principle

The Principle with the highest proportion of completed activities was Principle 7: Implementation and Review (53%) followed by Principle 5: Researcher Responsibilities (46%). The Principle with the smallest proportion of completed activities was Principle 6: Equality and Diversity (27%). It is worth mentioning that actions under Principle 7: Implementation and Review were not consistently categorised within ISP Action Plans. This will be addressed with the ISP Implementation Teams and further review of these actions will take place during the extension.

Actions addressing wider institutional policy are less likely to have been completed, with 24% of actions under Principle 1: Recruitment and Selection and 23% of actions under Equality and Diversity not being completed at all.

Country of institution

Institutions were divided according to the country in which they were based. 20 institutions from eight countries are currently involved in the CIRCLE Extension: Ethiopia (3), Ghana (4), Kenya (2), Nigeria (6), South Africa (2), Tanzania (1), Uganda (1) and Zimbabwe (1). As the number of institutions vary by country, it is difficult to analyse reported actions using this variable. This data can however provide a broad overview of progress when the status of actions is analysed.
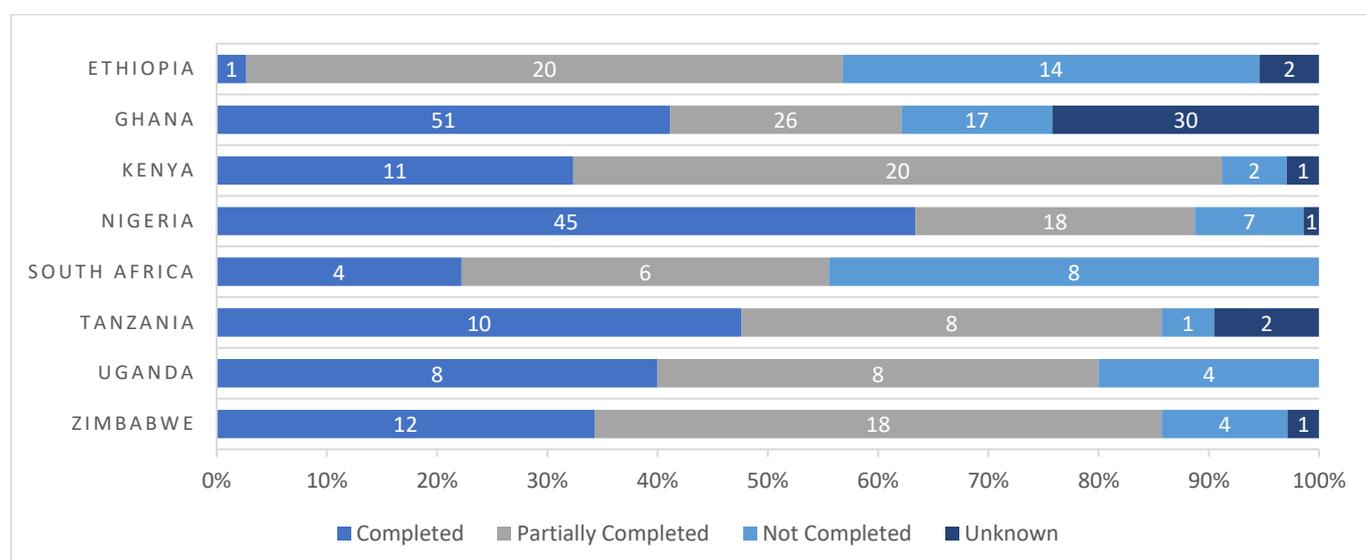

Figure 7 - Status of actions reported by institutions categorised by country

Institutions based in Nigeria reported the highest proportion of completed actions, with 63% completed at the time of reporting. Ghana also reported a high proportion of completed actions, with 41% actions completed, although the status of almost a quarter of reported actions was not provided.

Institutions in South Africa had the highest proportion of actions that had not yet been completed (44%), followed by institutions based in Ethiopia (38%).

Ethiopia also had the lowest proportion of completed actions, with just 3% completed at the time of reporting.

Focus of institution

Institutions were categorised depending on whether they were an institution that offered a general/comprehensive selection of courses/research (11), or if they were a specialist institution focusing on one scientific area (9). The status of actions by Focus of institution was analysed.
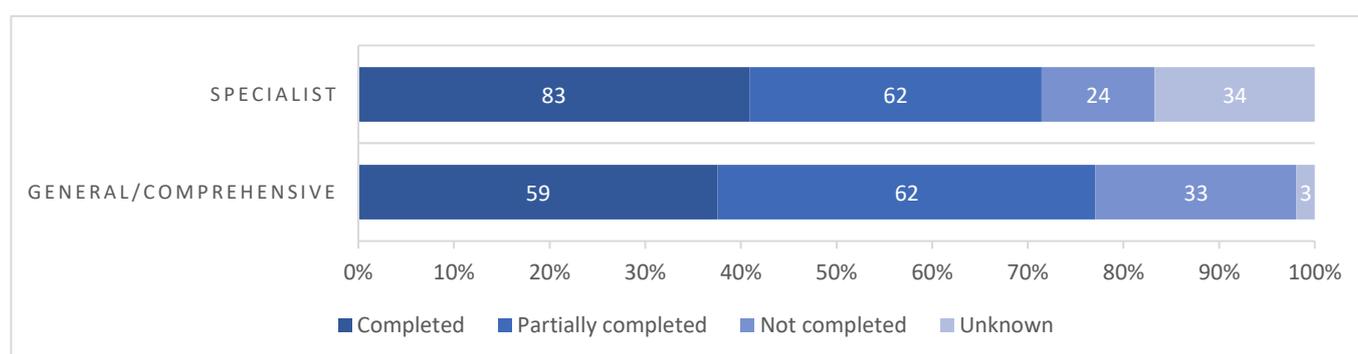
Figure 8 - **Status of actions reported by institutions categorised by focus of the institution**

Specialist institutions had a slightly higher proportion of completed actions than those with a broader academic remit (41% vs 38% respectively), and a smaller proportion of actions that had not been completed (12% vs 21%) at the time of reporting.

It should be noted that the status of 17% of actions for the specialist institutions and 2% of actions for the general/comprehensive institutions were not provided at the time of reporting.

Age of institution

Institutions were broadly divided into age groups of those between 0-20 years old (7), 21-50 years old (6), and 51+ years old (7). The status of actions by age group was analysed.
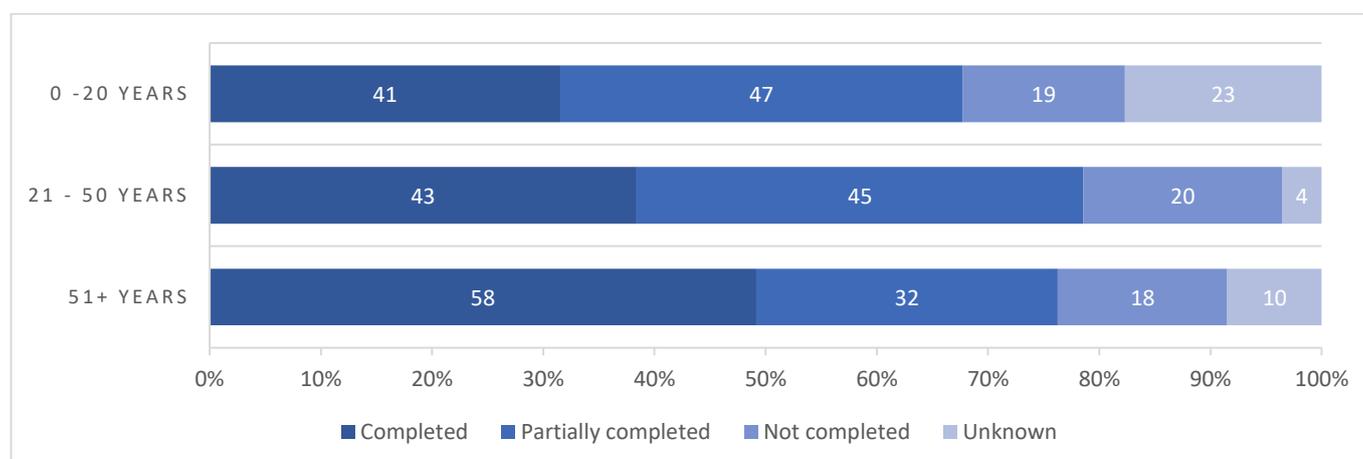

Figure 9 - **Status of actions reported by institutions categorised by age of institution**

The percentage of completed actions increases alongside the age of the institution, with institutions established 51+ years ago reporting a higher proportion of completed actions than younger institutions. The proportion of actions that had not been

completed at the time of the reporting does not drastically vary by age of institution, although institutions between 21-50 years had a higher proportion of actions that were Partially completed.

It should be noted that the status of 18% of actions by institutions between 0-20 years, 4% of actions by institutions between 21-50 years and 8% of actions by institutions 51+ years old, were not reported.

Older institutions may benefit from well-established support frameworks and departments or may already have long-standing policies and/or strategies in place, thereby enabling a larger number of actions to be successfully completed. Further data and evidence of institutional frameworks is in the process of being collected, and analysis will take place during the remainder of the extension period.

ISP Implementation Team Membership

The membership of all ISP Implementation Teams was analysed to determine if team numbers and team make-up had an effect on the success of the ISP Action Plan implementation.

The first analysis was carried out on the size of the ISP Implementation Teams. Institutions were grouped as follows:

Table 9 - Number of ISP Implementation Team Members as reported in 2017-18

NUMBER OF TEAM MEMBERS	COUNT
2 – 5	7
6 – 9	8
9+	5

The status of all actions was analysed by Number of Team Members.
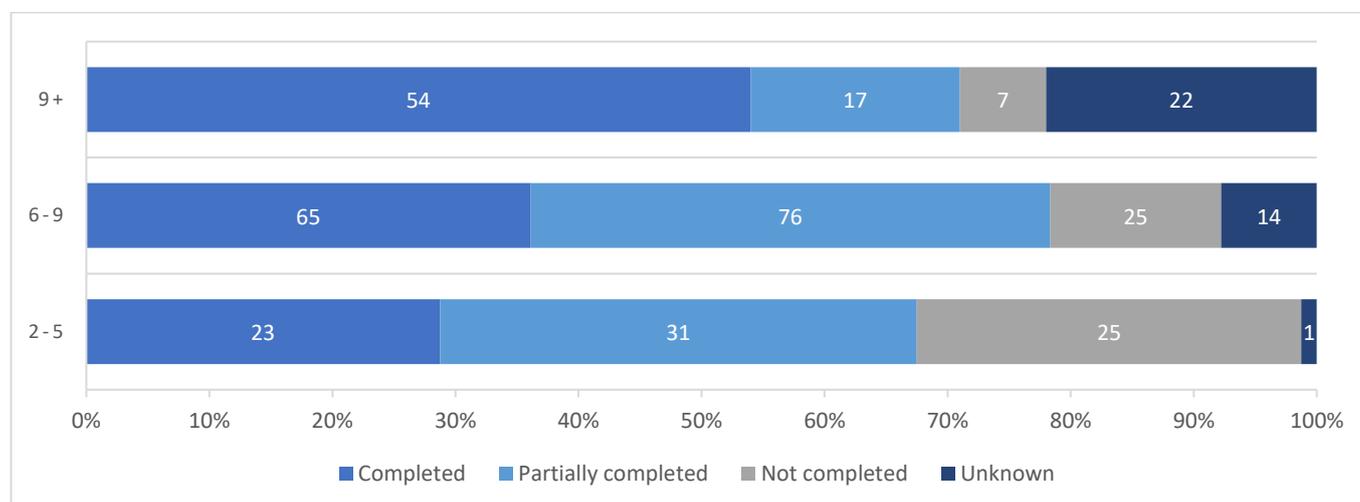
Figure 10 - Status of actions by Number of Team Members

The number of members within ISP Implementation Teams has an effect on the proportion of completed actions reported, with ISP Implementation Teams consisting of 9+ members reporting a higher proportion of successfully completed actions (54%) compared to 36% of those reported by teams consisting of 6-9 members and just 29% of those reported by teams with 2-5 members. Teams consisting of 9+ members did however have the largest number of actions with no reported status, which may affect final results.

It may be that teams with more members are better able to distribute responsibility in the delivery of actions and related tasks and may also benefit from a wider pool of experience and resources than institutions with smaller teams. That said, the larger proportions of unreported statuses suggest that although responsibility has been distributed, news and progress updates are not successfully collated and shared with the wider team.

The ISP Implementation Teams were also examined by the seniority of the ISP Lead as reported in pre-event surveys and progress reports carried out in 2017. Leads were categorised as follows:

Table 10 - Seniority of ISP Implementation Team Leads as reported in 2017

SENIORITY OF ISP LEAD	COUNT
VC / DVC	2
DEAN / DIRECTOR / HEAD OF DEPARTMENT	8
PROFESSOR / MANAGER	5
RESEARCHER / LECTURER	5

The status of all actions was analysed by the seniority of the ISP Lead.
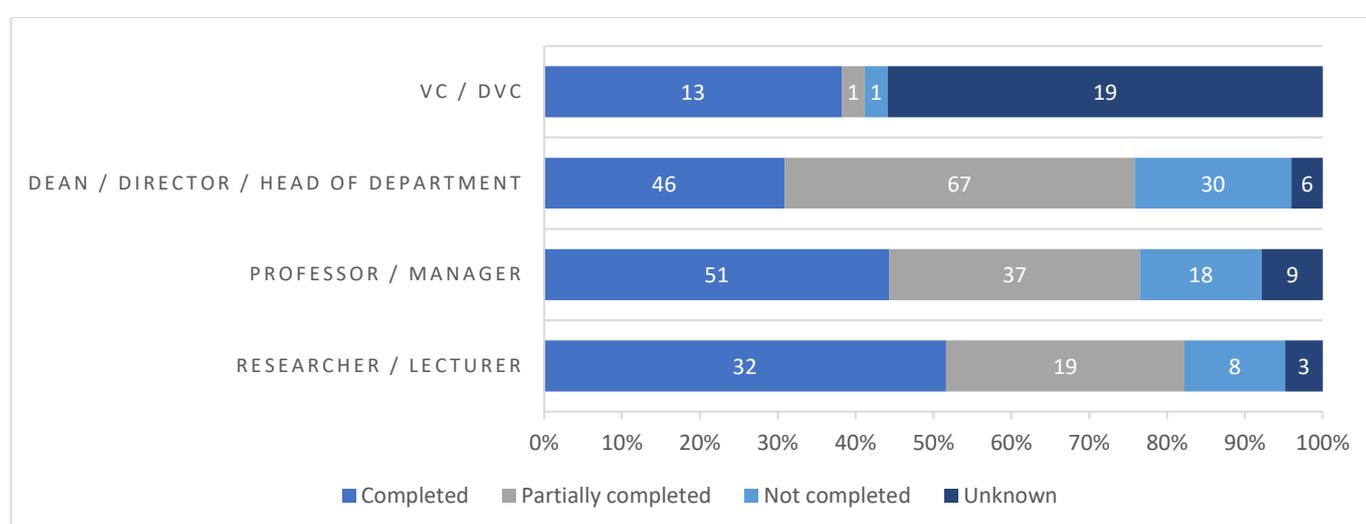
Figure 11 - Status of actions by Seniority of ISP Lead

Implementation Teams with Researchers/Lecturers had the highest reported proportion of completed activities (52%) followed by Professors/Managers leading (44%). Teams with VC/DVCs had the lowest proportion of completed activities (38%) although just two teams were led by VCs/DVCs and the status of 19 actions within these teams were unreported.

The inclusion of certain groups in the ISP Implementation Teams was also counted and categorised. CIRCLE has highlighted CVF Alumni, Senior Staff Members, HR staff and VCs/DVCs as key members of Implementation Teams that would be useful in the successful delivery of institutional actions. The members were counted as follows:

Table 11 - Count of highlighted member groups in ISP Implementation Teams as reported in 2017

MEMBER GROUP	YES	NO
CVF[6]	13	6
SENIOR STAFF MEMBER	16	4
HR/REGISTRAR	9	11
VC/DVC	5	15

The status of actions was analysed based on the inclusion of the above member groups.

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[6] One institution not applicable
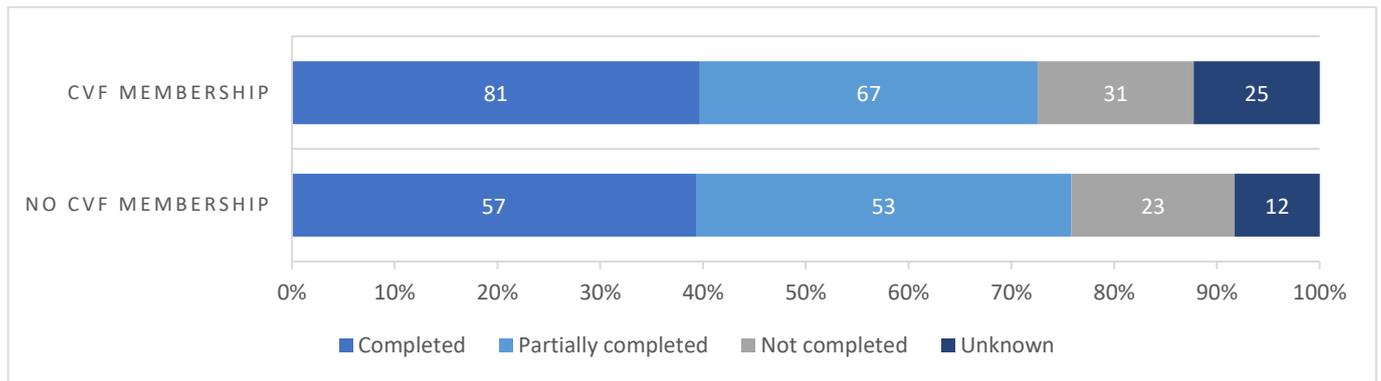
Figure 12 - Status of actions of ISP Implementation Teams divided by inclusion of CVF Alumni

The inclusion of CVF Alumni on ISP Implementation Teams did not appear to affect the proportion of successfully completed actions, with the six teams without CVF Alumni reporting 39% of actions as completed, compared to 40% of all actions completed by teams with members included.
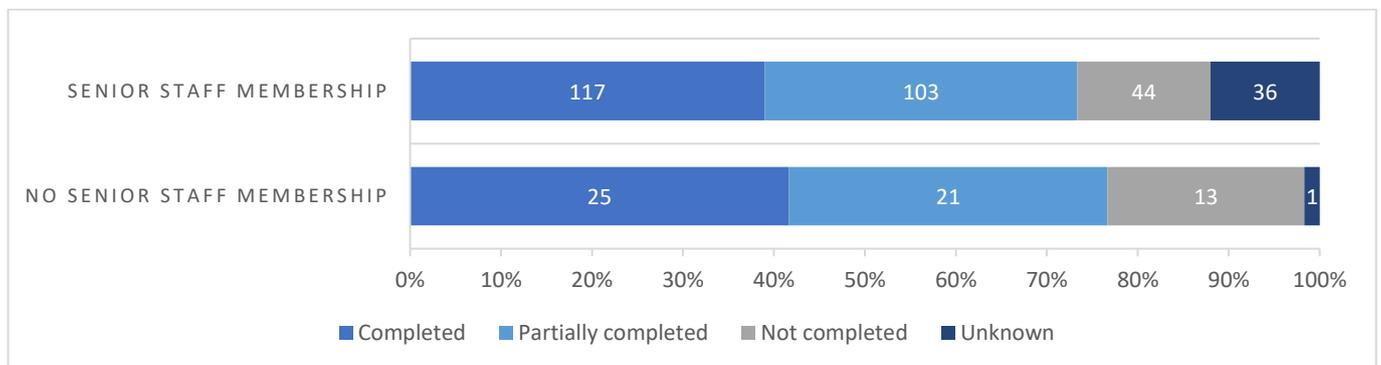
Figure 13 - Status of actions of ISP Implementation Teams divided by inclusion of a member of Senior Staff

The inclusion of a member of Senior Staff on ISP did appear to affect the proportion of successfully completed actions, with the 4 teams without a member of Senior Staff reporting 42% of actions as completed, compared to 39% of all actions completed by teams with members included.
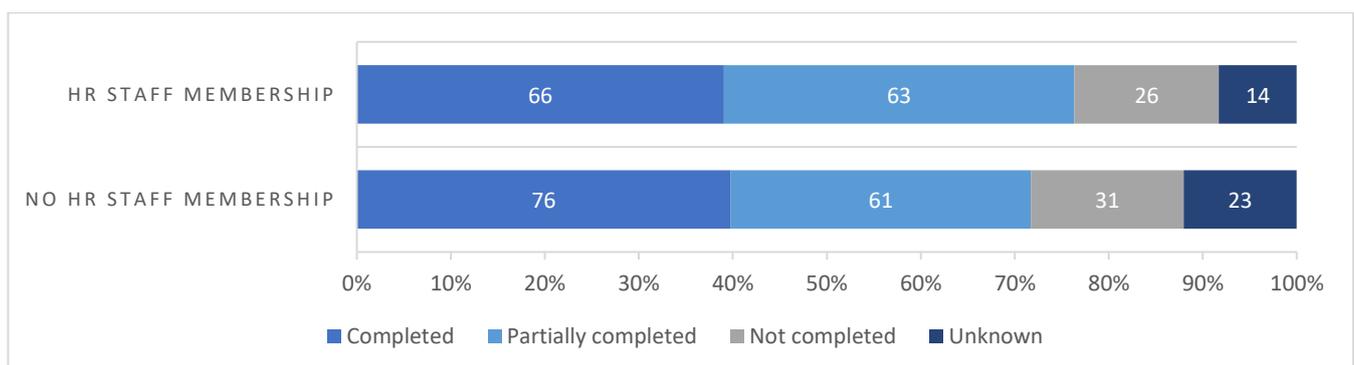
Figure 14 - Status of actions of ISP Implementation Teams divided by inclusion of a member of HR/Registrar Staff

The inclusion of a member of Senior Staff on ISP did appear to affect the proportion of successfully completed actions, with the 11 teams without a member of Senior Staff reporting 40% of actions as completed, compared to 39% of all actions completed by teams with members included.
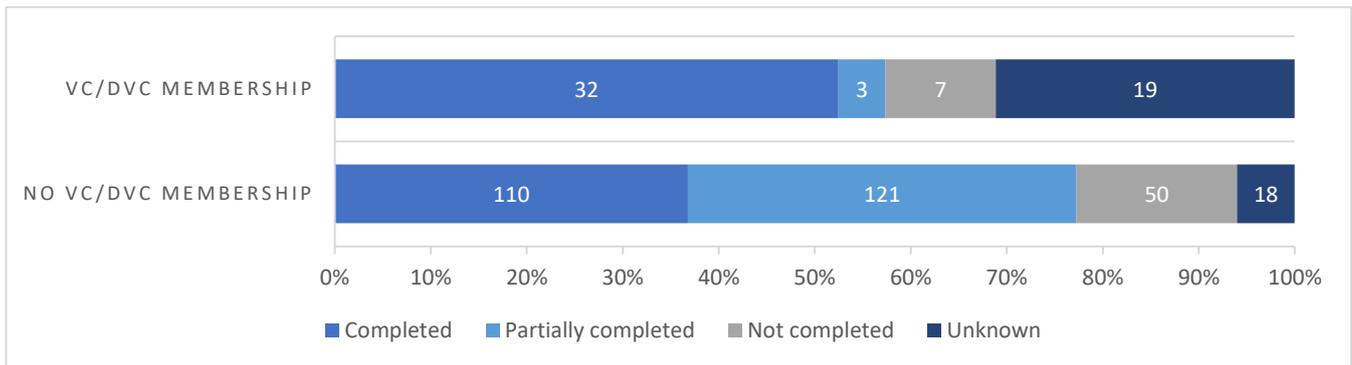
Figure 15 - Status of actions of ISP Implementation Teams divided by inclusion of a VC/DVC

ISP Implementation Teams with VC/DVCs as members reported a much higher proportion of completed actions than those without (52% vs 36% respectively). Teams with VCs/DVCs also reported a much lower proportion of Partially completed actions, although it should be noted that the status of 19 actions by teams with VCs/DVCs, and 18 actions by teams without were unreported at the time of analysis. These results highlight the importance of having very senior support for the ISP Action Plans, and the critical role that VC/DVCs can play in the successful implementation of ISP Actions.

Types of ISP Actions

To better understand which ISP Actions were being completed and which actions were not as successful, all Actions were categorised by type. Actions were categorised as follows:

Table 12 - List of Action Type including descriptions and example actions

TYPE OF ACTION	DESCRIPTION	EXAMPLE ACTION
AWARENESS RAISING	General promotion of actions/activities/developments relating to ISP topics	Design a weekly or bi-weekly staff newsletter to inform staff (of professional development opportunities for female researchers)
COURSE / DEPARTMENT EXPANSION / ESTABLISHMENT	Expansion of already established courses/departments, or establishment of new ones.	Modules to incorporate RDF planner into Graduate school programme
INSTITUTIONAL TARGETS	Specific growth targets outlined by the institution (e.g. enrolment/recruitment)	20% annual increase in number of proposals written
LARGE-SCALE EVENTS	For example, conferences, institution-wide forums	Mount international research and innovation conferences, symposia and exhibitions: 4 exhibitions
MONITORING AND EVALUATION	Monitoring of progress and evaluation of success of actions/events	Continue to monitor existing policy and give feedback and support to CIRCLE applicants
NEEDS ASSESSMENT / REVIEW	Further analysis on need for further support or review of current provision	Conduct a needs assessment and Research Appraisal training sessions for research managers and line managers
POLICY DEVELOPMENT / CHANGE	Development and/or implementation of new policies, or changes to those in place	Amend the promotion criteria and place more weight on the extension aspect of the research to make the university more relevant to the society and industry
SMALL-SCALE EVENT	For example, seminars, presentations	Half day presentation on developing the culture and discipline of conducting and publishing research
SUPPORT PROVISION IMPROVEMENT	General enforcement or improvement to support offerings at institution (e.g. mentoring activities, access to resources, facilities	Create opportunities to attend research conferences; mentoring of early career researchers by experienced professors
TRAINING	Delivery of training workshops or distribution of training materials	Hold one workshop for supervisors to explain topic formulations, proposal writing, project supervision, writing for publication, identifying authentic quality peer reviewed journals

The actions were divided as follows:

	RECRUITMENT AND SELECTION	RECOGNITION AND VALUE	SUPPORT AND CAREER DEVELOPMENT	RESEARCHER RESPONSIBILITIES	EQUALITY AND DIVERSITY	IMPLEMENTATION AND REVIEW	TOTAL
SUPPORT PROVISION IMPROVEMENT	8	11	67	17	9	14	**126**
TRAINING	7	5	45	17	2	3	**79**
POLICY DEVELOPMENT/CHANGE	3	11	25	3	7	3	**52**
AWARENESS RAISING	2	6	16	7	5	4	**40**
MONITORING AND EVALUATION	2	-	1	1	5	6	**15**
SMALL-SCALE EVENT	1	-	11	3	-	-	**15**
NEEDS ASSESSMENT / REVIEW	-	1	10	1	-	2	**14**
INSTITUTIONAL TARGETS	-	-	4	4	-	1	**9**
COURSE / DEPT EXPANSION / ESTABLISHMENT	2	-	1	-	2	1	**6**
LARGE-SCALE EVENTS	-	-	3	1	-	-	**4**
TOTAL	**25**	**34**	**183**	**54**	**30**	**34**	**360**

As the above table shows, the most commonly reported type of action was general Support Provision Improvement (126 actions), followed by Training (79), Policy Development/Change (52), and Awareness Raising (40). The largest proportion of actions of every type fell under Principles 3&4: Support and Career Development, with the exception of Monitoring and Evaluation where, as would be expected, the majority of actions fell under Principle 7: Implementation and Review.

The types of actions were also divided by country. As the number of institutions vary drastically by country, it is difficult to analyse reported actions using this variable. This data can however provide a broad overview of types of actions by country.
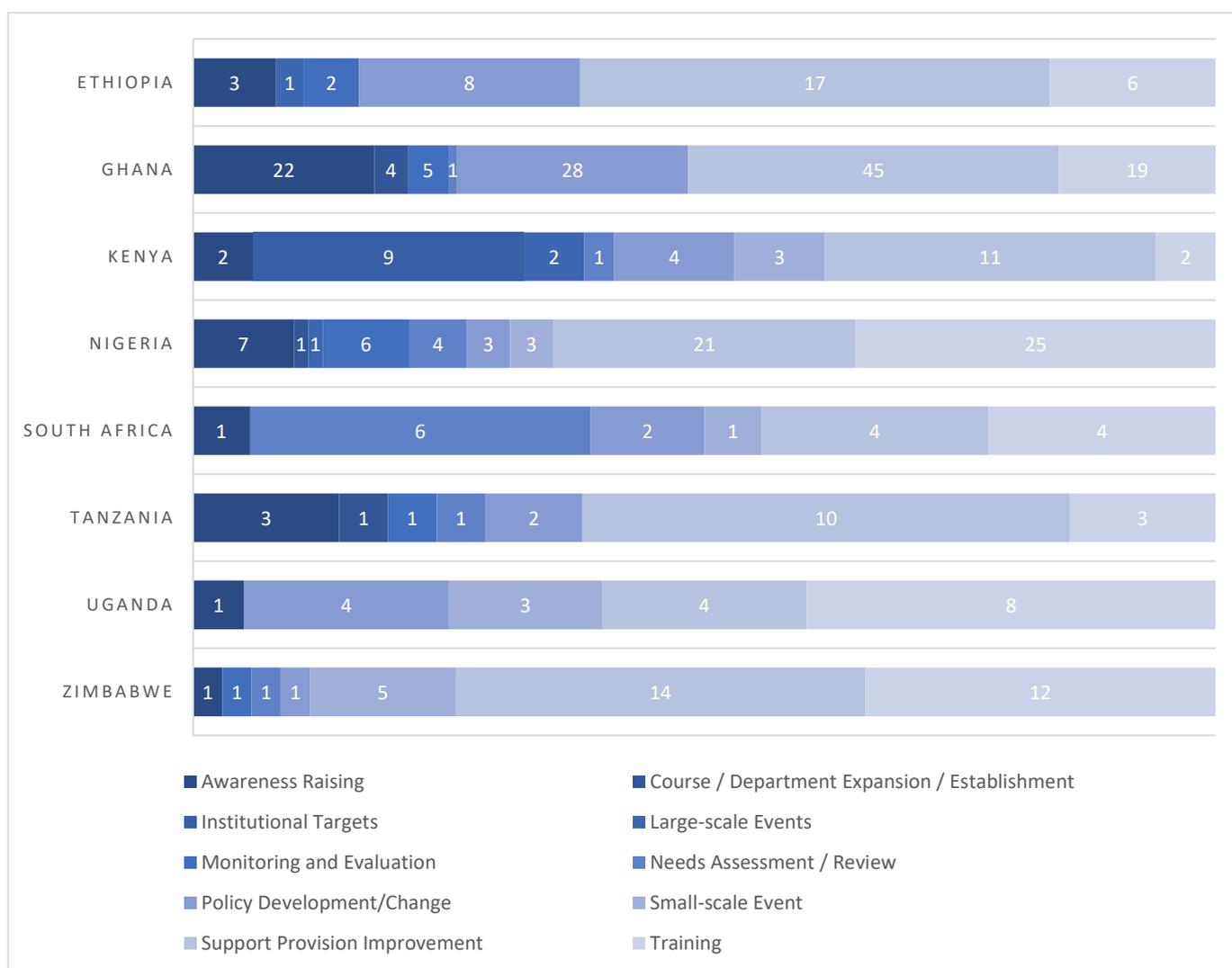
Figure 16 - Types of actions divided by country

Every country reported at least one action that involved Awareness Raising, Policy Development/Change and Support Provision Improvement. Support Provision Improvement accounted for the largest proportion of actions for institutions in each country except for South Africa, where further Needs Assessment/Review accounted for the largest proportion of actions.

Kenya was the only country in which institutions reported actions that aimed to increase wider Institutional Targets.

Institutions based in Tanzania, Nigeria and Ghana were the only institutions to report actions involving Course/Department Expansion/Establishment at their institution.

Institutions based in Nigeria, Kenya and Ethiopia were the only institutions that aimed to hold Large-scale Events for their research staff although just four such events were proposed.

The status of all actions was also analysed by Type of activity:
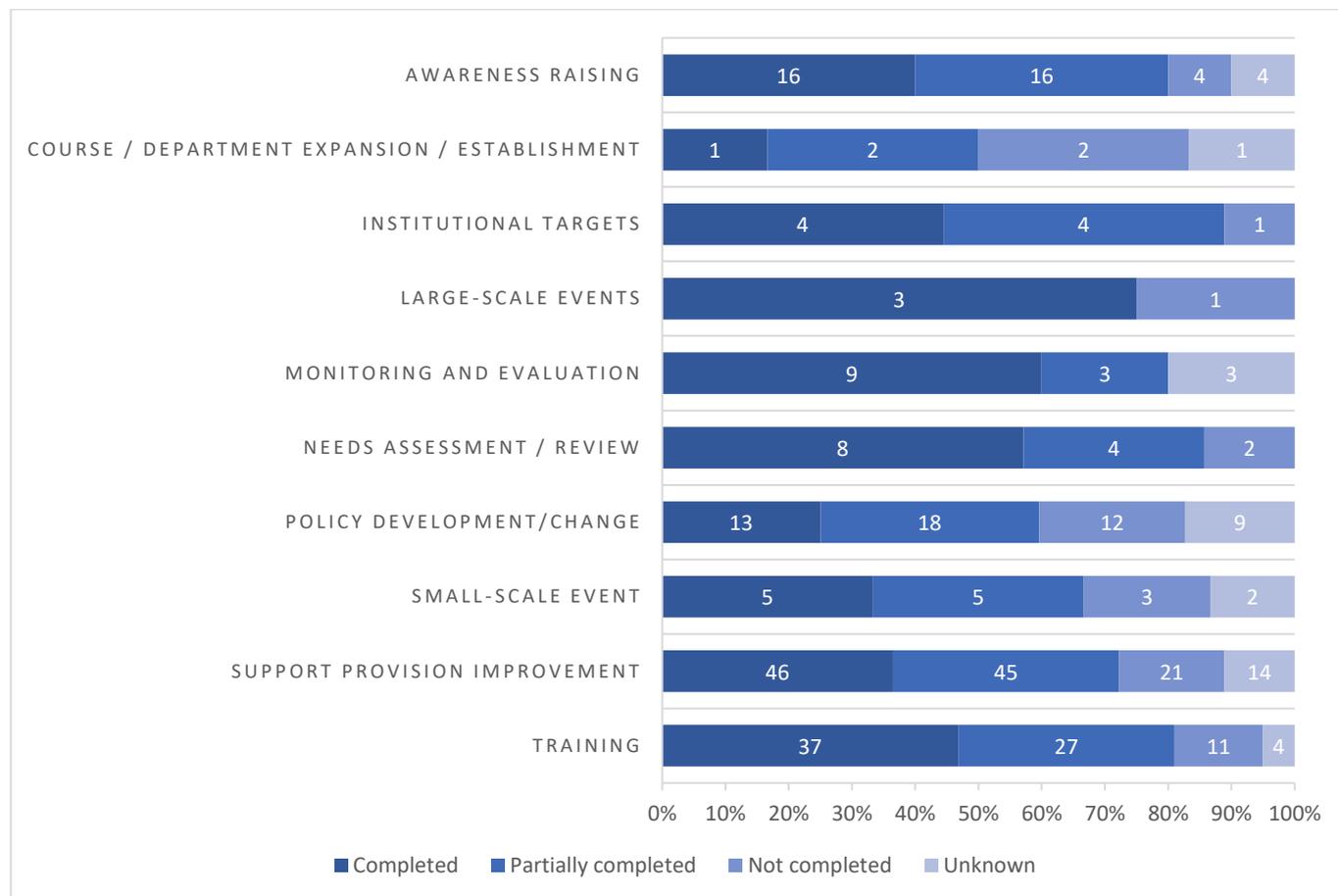
Figure 17 - Status of actions divided by Type of action

The type of activity with the highest reported proportion of successfully completed actions related to Large-scale Events, 75% of which were completed at the time of reporting, although it should be noted that just 4 Large-scale Events were proposed.

Monitoring and Evaluation actions were also largely completed, with 60% of the actions completed, and 20% partially completed at the time of reporting.

Other successful types of action included Needs Assessment/Review (57% completed, 29% partially completed), Training (47% completed, 34% partially completed), and wider Institutional Targets (44% completed and 44% partially completed). Actions addressing Support Provision Improvement were largely mixed, with 37% completed and 36% partially completed, although this is to be expected as the scope of such actions varied substantially.

Types of actions that were most commonly reported as not completed were Expansion/Establishment of Courses/Departments (33%) and Policy Development/Change (23%).

Topics addressed by ISP Actions

The topics of which the ISP Actions were addressing was also analysed. The following topics were outlined in the analysis:

Table 14 - List of Action Topic including descriptions and example actions

TOPIC	DESCRIPTION	EXAMPLE ACTION
CAREER DEVELOPMENT	Relating to staff promotions, career development support, opportunities	Management to step up efforts in providing the suitable training and support
CIRCLE-SPECIFIC	Focused on CVF Fellowship or sharing of ISP Progress	Evaluation of CVF experiences between 2015-2017
EQUALITY & DIVERSITY	Focused on topics such as gender, ethnicity, disability, return to work etc.	Higher priority to be given to women in science related disciplines for career development
LEADERSHIP / MANAGEMENT	Specific support for leaders/managers in improving support	Trainings for Research managers and Human Resources Department on research policy
MENTORING	Focus on mentoring support and mentoring relationships	Expand scope of the existing mentoring scheme
NEW STAFF ORIENTATION	Inductions and information for new starters	Training modules for new recruits
RECRUITMENT	Relating to transparent recruitment and support for recruiters	Training for staff to equip them for efficient handling of recruitment and progression
RESEARCH ETHICS	Ensuring that research is carried out ethically	Responsible conduct of research workshop
RESEARCH OUTPUTS	Focus on research skills and production of research publications	Support for collaborative interdisciplinary research, identifying topics and report writing
RESEARCH(ER) FUNDING	Improving access/provision for grant funding for research/researchers	Applying for funding support from local and International sources
RESEARCHER DEVELOPMENT	Development for individual researchers, often related to the RDF	Researcher trained to identify PDP and CEPD needs using the RDF Planner
RESEARCHER NETWORKING / DISSEMINATION	Opportunities/support to network and share research findings	Create opportunities to attend research conferences
SALARIES, PAY SCALES & STAFF BENEFITS	Improvements to salaries, pay scales and staff rewards and incentives	Salary scales made available to researchers
STAKEHOLDER ENGAGEMENT	Engagement with wider local communities and private sector	Formulate regulation to ensure that research proposals and community service projects are demand-driven
TEACHING / CURRICULA	Relating to developments in programme delivery or curriculum review	Bringing the capacity of senior researchers together to develop academic curricula

All actions were sub-categorised according to the topic of which they addressed. The distribution of Types of activities were as follows:

Table 15 - Count of Action Topics addressed by actions categorised by Type

	AWARENESS RAISING	COURSE / DEPT EXP / EST	INSTITUTIONAL TARGETS	LARGE-SCALE EVENTS	MONITORING AND EVALUATION	NEEDS ASSESSMENT /	POLICY DEV/CHANGE	SMALL-SCALE EVENT	SUPPORT PROVISION	TRAINING	GRAND TOTAL
MENTORING	7	-	-	-	-	1	17	3	17	14	**59**
CAREER DEVELOPMENT	7	1	1	-	-	3	5	-	21	7	**45**
RESEARCH OUTPUTS	2	-	4	-	1	1	4	4	10	19	**45**
RESEARCHER DEVELOPMENT	2	1	-	-	1	5	1	-	20	14	**44**
EQUALITY & DIVERSITY	6	3	-	-	8	-	5	-	6	2	**30**
SALARIES, PAYSCALES & STAFF BENEFITS	5	-	-	-	-	-	12	-	8	-	**25**
CIRCLE-SPECIFIC	2	-	-	-	3	2	-	2	11	3	**23**
RESEARCH(ER) FUNDING	3	-	1	-	-	-	3	-	10	2	**19**
RESEARCHER NETWORKING / DISSEMINATION	1	-	-	4	-	-	1	3	5	3	**17**
LEADERSHIP / MANAGEMENT	1	-	-	-	-	1	-	-	4	7	**13**
NEW STAFF ORIENTATION	1	-	-	-	-	-	-	1	7	3	**12**
STAKEHOLDER ENGAGEMENT	1	-	3	-	1	-	-	1	6	-	**12**
RECRUITMENT	1	-	-	-	1	-	2	-	-	4	**8**
RESEARCH ETHICS	1	-	-	-	-	-	1	1	-	1	**4**
TEACHING / CURRICULA	-	1	-	-	-	1	1	-	1	-	**4**
TOTAL	**40**	**6**	**9**	**4**	**15**	**14**	**52**	**15**	**126**	**79**	**360**

The most commonly reported topic of actions was Mentoring (59 actions), followed by Career Development and Research Outputs (45) and Researcher Development (44). Wider institutional topics such as Equality & Diversity (25), Salaries, Pay scales and Staff Benefits (23) also received high numbers of actions. This is encouraging for CIRCLE, as much of our training and support focused on the most commonly reported actions, namely mentoring, career development and research outputs.

The topics addressed by actions were also divided by country. As the number of institutions vary drastically by country, it is difficult to analyse reported actions using this variable. This data can however provide a broad overview of topics of actions by country.
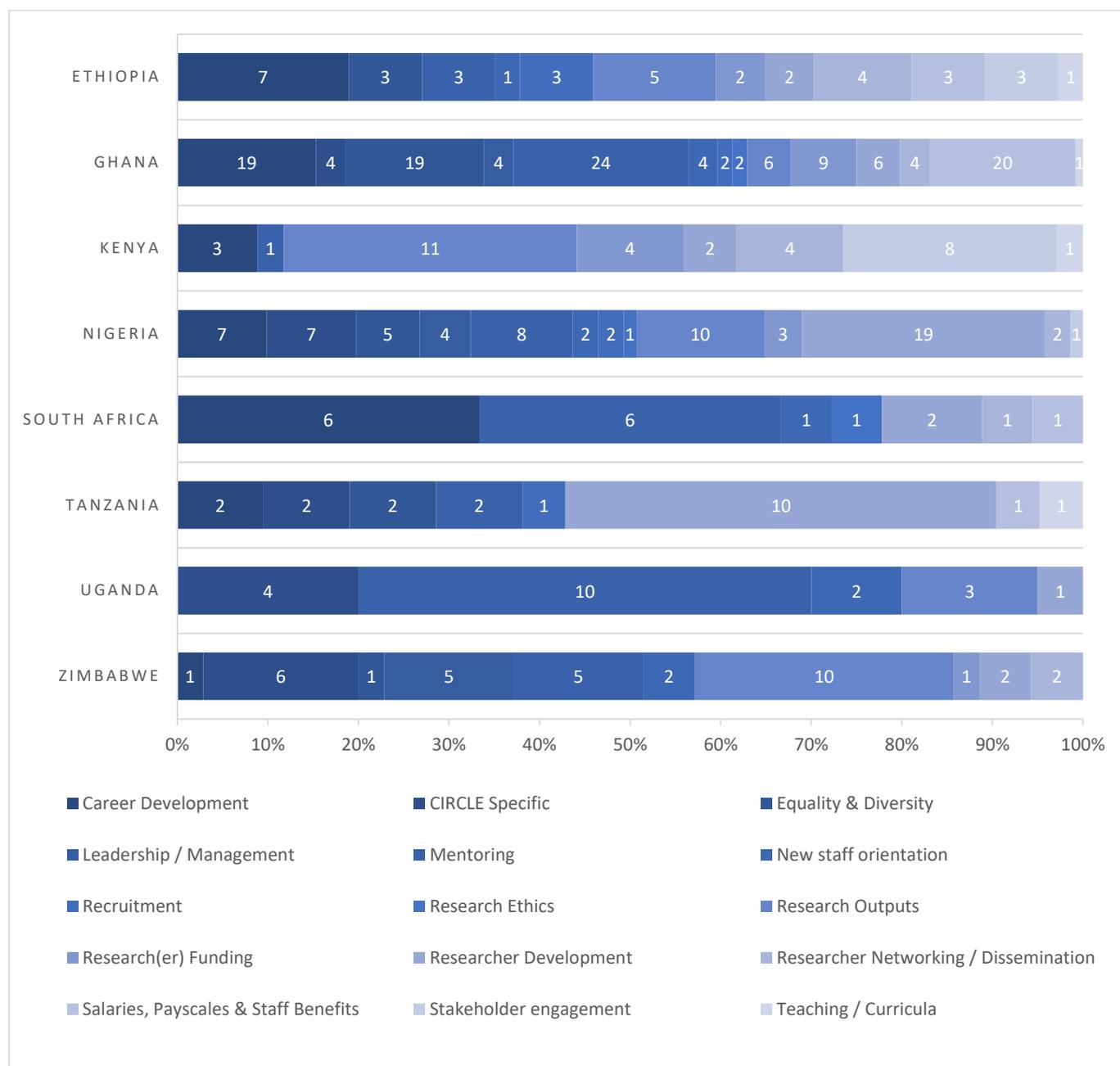

Figure 18 - Topics of actions divided by country

Topic focus varied between countries. Career Development was the topic most commonly addressed by institutions based in Ethiopia (19% of all actions). Research Outputs were most commonly addressed by institutions based in Kenya (32%) and Zimbabwe (29%). Mentoring was most commonly addressed by institutions based in Ghana (19%) and Uganda (50%). Researcher Development was most commonly addressed by institutions based in Nigeria (27%) and Tanzania (48%). Actions in South Africa were most commonly focused on either Mentoring or Career Development (33% each).

Actions addressing Leadership / Management issues were only reported by institutions based in Zimbabwe, Nigeria and Ghana.

Actions addressing Research Ethics were only reported by institutions based in South Africa, Nigeria and Ghana.

Actions addressing Stakeholder engagement were only reported by institutions based in Nigeria, Kenya and Ghana.

Actions addressing changes to Teaching / Curricula were only reported by institutions based in Tanzania, Kenya and Ethiopia.

The diversity in the focus of actions by country reflects the varying priorities of institutions across the region. Further comparison of actions reported against institutional strategies will also take place during the programme to explore any regional trends in support needs for early career researchers.

The status of actions was also analysed by topic.
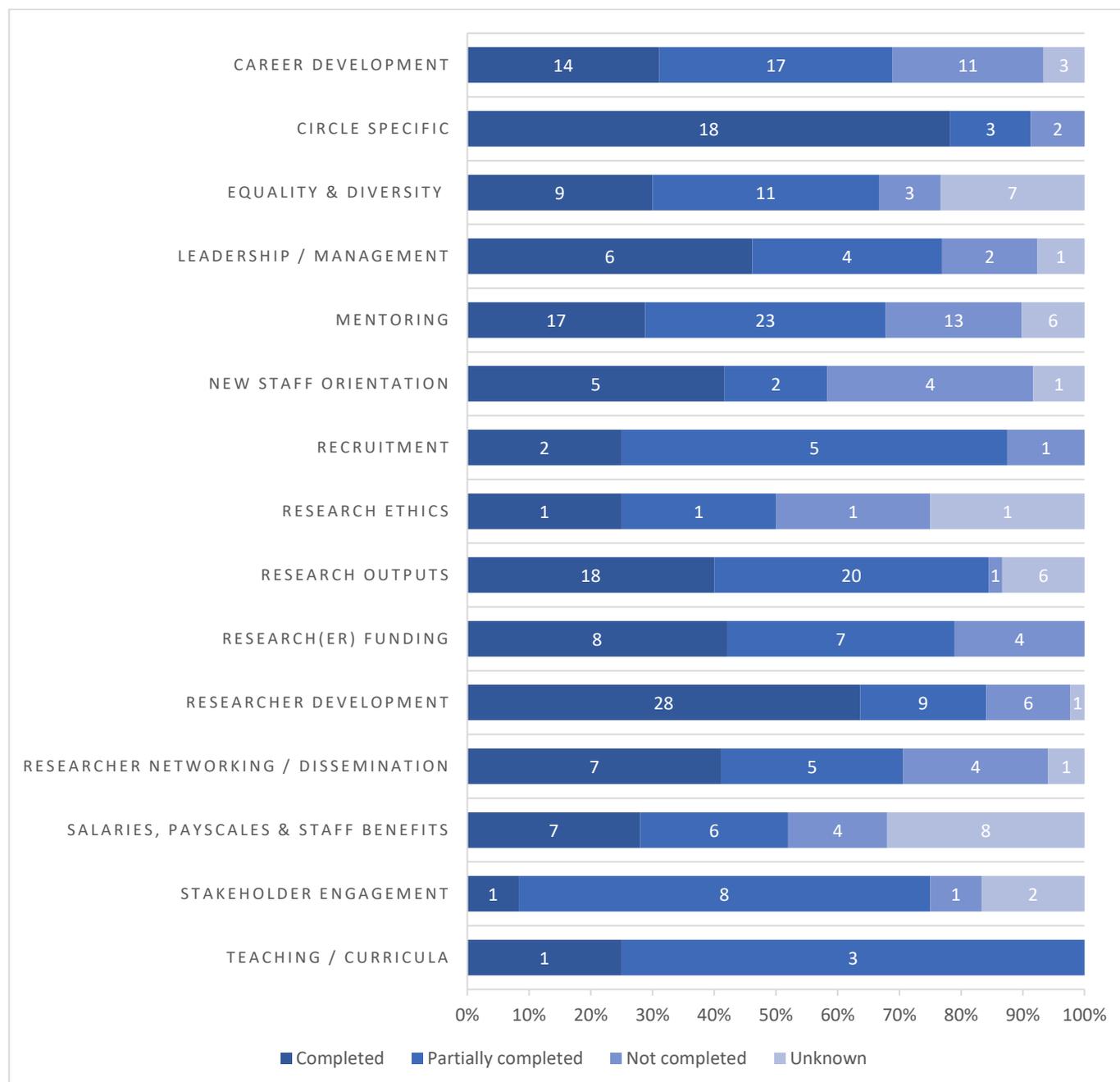
Figure 19 - Status of actions by Topic addressed

Actions addressing CIRCLE Specific issues were more likely to be reported as completed (78%), followed by those addressing Researcher Development (64%). Although a high proportion of actions addressing New Staff Orientation were reported to be completed (42%), 33% were not completed at all.

As well as actions addressing New Staff Orientation, large proportions of actions addressing Research Ethics (25%), Career Development (24%) and Researcher Networking/Dissemination (24%) were not completed at the time of reporting.

Feedback on Actions not yet completed

Institutions were asked to provide reasons as to why actions had not yet been fully completed. Unfortunately, information was not provided for 139/181 (77%) of actions that were not yet fully complete. The remaining 42 of reasons behind incomplete actions were as follows.

Table 16 - Reason for non-completed actions provided by institutions

REASON	%
RESOURCE LIMITATION	24%
RESPONSIBILITY LIES WITH ANOTHER DEPARTMENT	24%
MORE TRAINING REQUIRED	19%
COMPLEX BUREAUCRATIC PROCESS	12%
MORE DISCUSSION NEEDED	12%
SENIOR SUPPORT REQUIRED	10%

Resource limitation was identified as the main barrier in action completion for 10 actions, specifically the time allocated to ensure the action is completed and financial support needed for its delivery. Responsibility for 10 other actions had been delegated to other departments, specifically HR Departments or to Senior Management, limiting the ability of the team to influence outcome.

Other barriers identified included the need for further training or information sharing, complex bureaucratic processes involved in making institutional change, the need for more discussion with key members of university staff, and the need for senior support before actions can be considered by wider institution.

Further investigation into institutional barriers will take place throughout the extension.

Reflections and Recommendations

Reflections from the Institutional Champions

The CIRCLE Champions Workshop held in December 2017 was expected to be the final opportunity for institutions to come together and share best practise and experience in the delivery of the CIRCLE ISP. The theme of this workshop was entitled "Sustainable futures for the CIRCLE ISP" and ISP Champions were invited to share thoughts and reflections on their aspirations for the future.

Champions indicated that they would like to continue permeating their ISP achievements throughout their own institutions, enabling them to become experts and leaders in the design and delivery of effective ISP Action Plans to promote further change across their institution. They also welcomed the idea of extending participation to other institutions once the current CIRCLE ISP Programme was completed, with current Champions acting as mentors for institutions new to the model. The following selected comments were provided by Champions during their post-event report:

"CIRCLE has yielded so much positive impact in my University, extending the programme is a sure way of accommodating more ECRs to develop their Research capacity as well strengthen more institution's capacity. Collaboration to achieve other funding will help accommodate more programmes and training for participating institutions as well as including more institutions in the programme."

"ISP within current institutions needs to continue to further improve capacity building and allow the institutions to successfully wind up their activities. This will give them confidence to advance ISP to other institutions. Those institutions with outstanding performance in CIRCLE and ISP activities should be recognized and this will give them confidence and make them recognized among other institutions."

"The reach of the project to all faculties in the university was not possible. Extension will give opportunity to extend the work to many faculties in the university. Recognition of ISP at national and international level will improve the image of participating institutions and their ranking in giving quality education and performing quality research"

"Weaknesses that the ISP activities are aimed at addressing are inherent and widespread. Therefore, directly through new enlistment or indirectly through mentorship (of other institutions) by institutions that participated in ISP"

Champions were also invited to discuss their ambitions for the ISP beyond the CIRCLE Programme. Responses were largely mixed, but the majority of champions indicated that embedding the ISP into "normal institution business" was a priority to extend its impact to other departments and staff groups. When asked what a sustainable future of the CIRCLE ISP would look like within their institution, Champions indicated that wider institution support, more robust skills and support needs gap-analyses, external collaboration and funding were key components of a sustainable ISP model. Addressing other issues such as gender equality, research skills and mentoring were also important and would help to gain wider support for the programme with academics and support staff within the institutions.

These thoughts and reflections will be revisited at the next Champions Workshop in October 2018.

Recommendations for the remainder of the CIRCLE ISP Extension

Based on the above analysis, it is apparent that institutions are making measurable progress in gaining wider institutional recognition and support to help embed learning and developments in strengthening the support for early career researchers. The analysis also highlights a variety of barriers and institutional obstacles that need to be addressed.

It is evident that there are several factors that affect the successful implementation of CIRCLE ISP Action Plans, namely the types and topics of the ISP Actions, the size and composition of the ISP Implementation Team and the involvement of VC/DVCs. With all ISP Implementation Teams now including CVF Alumni and a letter of formal support and recognition from their VC/DVC, it is hoped that further progress in the implementation of partial and incomplete actions, as well the development of new actions, can now take place.

Whilst 142 (39%) of actions were completed, 124 actions (34%) were reported to be only partially completed, with institutions highlighting that resource limitation was the key factor, specifically staff time, need for senior support and the apparent need for financial support to ensure delivery. With CIRCLE scheduled to close in March 2019, the programme will focus on low-cost sustainable activities that can help institutions to progress the actions in their plans are far as possible. In addition to another

round of the CIRCLE ISP Implementation Fund, the need for cost-effective solutions to barriers in ISP Action Plan implementation will be reiterated. Emphasis on management and delegation of responsibilities, both within the ISP teams and with departments outside of the teams is much needed and will help the ISP Implementation Teams to consider longer-term solutions to overcoming obstacles at their institution.

Actions cannot be realised without consideration of wider factors, and further needs assessments may need to take place within the institution. A number of institutions have already carried out such needs assessments, the results of which have been reportedly very successful in informing future activities. Their experiences, along with other institutions with key achievements, will be shared with institutions and further training on embedding learning within their institutions will be delivered.

Although many institutions have successfully delivered actions, just 12/20 institutions involved in the CIRCLE ISP Extension have had policies and/or strategies for supporting career and professional development of research staff successfully put into place since the start of the programme. In addition, many of the formal mentoring schemes that have been put into place across the institutions are relatively small scale, and further scaling-up or sharing of best practise across the institution would ensure that the programme achieves sustainable long-term impact.

What has also become apparent is the impact of the CIRCLE ISP Programme on the individual Champions themselves, who have successfully led a change management programme. An unintended, but very positive benefit of this process has been the personal growth and development of the leadership skills of the Champions, with many now emerging as experts in leading institutional change and strengthening support for early career researchers within the African context. It is hoped that data from this report will encourage our Champions to continue building on their CIRCLE ISP achievements, and draw on experiences from across the CIRCLE Network, working together to overcome barriers in implementing institutional change to better support early career researchers within the field of climate change, across the breadth of the institutions and within the wider research sector in their respective countries.

Annexes

Annex 1 Concordat Principles

Principle 1: Recruitment and Selection

Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.

Principle 2: Recognition and Value

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

Principle 3 and Principle 4: Support and Career Development

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

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

Principle 5: Researchers Responsibilities

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

Principle 6: Diversity and Equality

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

Principle 7: Implementation and Review

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.