

University of Surrey Up-dated Action Plan for Internal Review Jan 2014

Achieved
Achieved and on-going
Achieved but requires new action
On-going

A	RECRUITMENT & SELECTION		
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.		
No.	Actions	Progress	Further information/action
1.1a	Ensure the recruitment policy is reviewed annually.	This is demonstrated by the recruitment process (underpinned by our Recruitment Code of Practice, updated May 2010) and vision of the University, which is reviewed on an annual basis.	
		The HR Department has introduced a new Recruitment System, branded SurreyRecruit which is streamlining recruitment processes across the five HR teams.	
1.2	Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.		
1.2a	Ensure recruitment and selection processes are fair and transparent.	Vacancies are open to wide audiences both on a national and international level. In some circumstances posts may be advertised for one week, where skills are easily identifiable. The recruitment process is consistent in all appointments ensuring fairness and transparency. This consistent process has been improved through the introduction of SurreyRecruit. Role Profiles at each grade are generic across the whole institution, thereby ensuring consistency. See Recruitment Code of Practice and Policy, updated May 2010 and Job Evaluation Procedure, updated January 2012.	On-going Action: Action 1 in New and On-going Actions
1.2b	Ensure new Stonefish Recruitment System is integrated well into the organisation.	Project Team have delivered on the implementation of SurreyRecruit and HR super-users are in place to support customers in the business, in terms of using the system and providing feedback.	
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.		
1.3a	Review fixed term research posts criteria.	Fixed term contracts are used where it is funding-related. Every three months, our Human Resources Department review every fixed term contract which is coming to an end. Employees on fixed-term contracts which run over 4 years are moved to permanent employee status as per legal requirements. See Temporary Employee Policy, September 2012. During 2014 HR are working with UCU on the review of the Temporary Employee Policy.	New Action: As an extension of this we have created Action 2 in New and On-going Actions

1.4	To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.		
1.4a	Where possible, ensure the recruitment and progressions panel reflect diversity and panel members receive relevant training/advice.	Those involved in selection panels have received training and/or have extensive experience in such areas. As part of the HR Strategy a review is underway to monitor the training of such participants. HR professionals are available for guidance to those involved in selection and can also refer individuals to the Recruitment Code of Practice. All applicants requesting feedback are given this either by the recruiting manager or HR. An E&D training module is available to staff. Staff Development provide regular training workshops on competency interviewing for both interviewees and interviewers. Elements of this training include E&D awareness. One-to-one coaching is also available upon request. Staff Development have also introduced an 'Induction for New Managers' which assists staff in their general management abilities for which recruitment and promotion form a part. Reports are available from Staff Development and E&D in terms of staff who have undertaken relevant training.	
1.4b	Unsuccessful internal applicants are encouraged to talk to the Careers Advisor – action to be made within 6 months.	Done on an ad hoc basis. When giving feedback to internal applicants, the Careers Office is 'flagged' where appropriate.	New Action: Action 6 in New and On-going Actions
1.5	The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.		
1.5a	Monitor of Pay and Grades	The Hay Evaluation Framework which is based on grades within the nationally agreed 51 point pay spine demonstrates this compliance. We work to and are guided by HAY. Equality of pay is monitored through the Equal Pay Audit - last undertaken October 2011. The next Equal Pay Audit is due 2014.	New Action: Action 1 in New and On-going Actions
B	RECOGNITION & VALUE		
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.		

2.1a	Ensure that researchers are accorded fair and equal treatment through university systems and processes and fair and equal access to development opportunities regardless of contract term.	Research staff on fixed terms contracts have the same terms, conditions and entitlements as permanent staff. They are made aware why they are on fixed contracts (usually linked to funding) and that extensions to contracts are common at the University of Surrey. Where contracts extend beyond 4 years service, staff move to a permanent contract, although as for any permanent member of staff their contract is still subject to funding continuing to be available for that post. Redeployment opportunities are posted on the Surrey Recruit website and as a new feature staff can upload their CV. It means redeployment opportunities are more transparent. We continue to review the information given to researchers about development opportunities including what is given at induction. We are piloting a researchers induction in FEPS in Spring 2014.		
2.1b	All Researchers (both fixed term and permanent contracts) should be sent Information sheet produced by the Careers Service detailing the support offered specifically to this client group. – currently under action.	All staff receive information learning and development support at University induction. PGRs receive information in their required 'Welcome to Your PhD' workshop'		New Action: Action 6 in New and On-going Actions
2.1c	In order to support those Researchers on fixed term contracts, it would be helpful if the Careers Adviser with responsibility for these members of staff were informed of their starting and completion dates in order that she may make direct contact, suggesting meeting to discuss their future plans and offering support where necessary.	This action needs reviewing in light of what support is available from the Careers Service and how more widely we are helping researchers to think about their skills and their future.		New Action: Action 6 in New and On-going Actions
2.1d	Include as part of the notice process – within 6 months .	This action needs reviewing in light of what support is available from the Careers Service and how more widely we are helping researchers to think about their skills and their future.		New Action: Action 6 in New and On-going Actions
2.2 Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.				
2.2a	Ensure that the commitment to the principle and terms for fixed term employees and JNCHES continue to be met.	This is standard HR practice and policy, and is therefore fully adopted throughout the University.		
2.3 Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.				

2.3a	Ensure that managers understand their management responsibilities and participate actively in managing, supervising and developing researchers and that the University monitors, assesses and rewards good practice in performance management of researchers	There is still work to be done in this area – so should not read ‘Achieved’: Update as follows: <u>‘Ensure managers understand their responsibilities</u> The University requires all line managers to performance manage their staff. This means providing an induction plan, ensuring correct health and safety training is undertaken, monitoring probation and undertaking annual appraisal reviews in which performance, potential and development needs are discussed. Appraisals are logged so we know which managers have completed them. NB <i>There is still work to be done with managers on all of the above, and with those who fail to carry our appraisals as well as scrutinising the quality of these processes for our research staff.</i> <u>Managers to participate actively in managing and developing researchers:</u> There is a range of development available to managers in leadership, management, supervisor skills. Take up is the issue. NB <i>How well are managers of researchers are participating in this development, and are the managers who need to develop doing so – this still needs scrutiny by HR, Staff Development and RDP.</i> <u>The University monitors, assesses and rewards good practice in performance management of researchers.</u> <i>Monitoring is improving in a more rigorous recording of appraisal completions.</i>	Extended in Actions 5 & 6 in New and On-going Actions
2.3b	We are currently in the process of restructuring the Staff Development Team and are hiring a new Head of Staff Development and Staff Development Manager this year (2011). Once the new team are in place, development/training needs for all staff will be identified and a revised development strategy devised.	Staff Development Team arrived 2011 and suite of development available by SD team and other training teams.	
2.3c	Careers Service included in delivery of career development guidance.	The University of Surrey has a full time careers officer, specifically dedicated to advising researchers. All researchers are able to make appointments with this Careers Adviser to create a career plan. In academic year 2011/12, 618 researchers made use of this service.	New Action: Action 6 in New and On-going Actions
2.3d	Careers Adviser invited to join staff inductions to give a brief overview of the services provided by the Careers Service. NB As the Careers Service also offers support to members of staff there does not necessarily need to be a distinction between Researchers and other staff.		New Action: Action 6 in New and On-going Actions
2.4 Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.			
2.4a	Ensure our systems are organised to give maximum support to the continuity of a researcher's employment.	Bridging funds are sometimes available to support researchers between contracts. Funding is limited and allocated at Faculty discretion. Additionally all redeployment opportunities are available on the new Surrey Recruit website with the facility to upload CVs.	

2.4b	Consider whether the provision for bridge funding is sufficient and review the transparency of funding decisions made in individual Faculties to ensure equality and diversity.	(NB Recommend this action is merged with 2.4 a). <u>Consider whether the provision for bridge funding is sufficient</u> : A process is in place when the funding is being bridged but it is more difficult to have a clear process when the funding bridged is hoped for, but not in place. This seems to be a problem throughout the Sector with no clear solutions? <u>Review the transparency of funding decisions to ensure equality and diversity</u> . The University to review that the processes in place are as transparent, fair and equal as possible when a researcher moves from contract to contract. If only one individual is impacted it is agreed they can be supported and the funding bridged. If more than one person impacted, interviews should take place'	On-going Action: See Action 20, combining this action with the diversity and equality section.
2.5 Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.			
2.5a	Ensure pay progression is transparent and in accordance with agreed local and national procedures.	The pay spine for all staff is freely accessible on the HR website, as are terms and conditions which outline the guidelines on pay progression. The University works fully within the Framework Agreement. Progression through the pay spine is consistent with all other staff.	
2.6 Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.			
2.6a	Ensure Researchers are offered opportunities to develop their careers, have access to pay progression and that promotion opportunities are transparent.	Ensure Researchers are offered opportunities to develop their careers . Career development opportunities feature in the RDP programme e.g. "Career Management Skills for Research Staff" as well as workshops to help research staff enhance employability inside and outside academia. Lunchtime sessions allow ECRs an opportunity to chat informally about funding, publications, career management. Talks by members of academic staff, careers, industry, Research Enterprise and Department of Higher Education give researchers access to critical support. Researchers are made aware of talks by external funding bodies. Research staff can develop teaching skills with access to Module 1 of the Graduate Certificate in Teaching and Learning (leading to Associate Fellowship of the HEA). <u>Ensure Researchers have access to pay progression</u> : Progression through the pay spine is consistent with all other staff and the pay spine is freely accessible on the HR website with guidelines in progression. The University works within the Framework Agreement. <u>Ensure promotion opportunities are transparent</u> : Role Profiles set out required criteria at different levels for research staff. Research staff can apply for any role. Line managers are expected to discuss progression and promotion and availability of fellowships during appraisal.	
2.6b	Ensure research staff are aware of the opportunities available within DHE.	All research staff have access to the DHE website and opportunities are available via the L&D events calendar on the University website and in an L&D booklet sent to every member of staff	
2.6c	Careers Office offer interview training for staff – to be made more visible in research staff community.	Interview training and coaching offered by RDP and SD team.	
C SUPPORT & CAREER DEVELOPMENT			

3.1	It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.		
	Action	Progress	Further information/action
3.1a	Researchers considering their career development could meet with the Careers Adviser who will be aware of labour market information, viable opportunities and be able to facilitate the production of a career action plan.	The University of Surrey has a full time careers officer, specifically dedicated to advising researchers. All researchers are able to make appointments with this Careers Adviser to create a career plan. In academic year 2011/12, 618 researchers made use of this service.	New Action: Action 6 in New and On-going Actions
3.1b	Acquire information about the destinations of researchers by using the leavers form as the basis to collect data.	The career service runs the DLHE survey twice a year, this survey is also sent out to PGR graduates, so can be used to take PGR destinations. (Note: this is only applicable for UK and EU graduates.). In past years the uptake from PGRs has been low, however, extra efforts have been made to encourage PGR participation this year, resulting in a ~80% return rate from PGRs this year (36 out of 46). This data can be used to analyse the destinations of our PGR graduates. Careers and quality enhancement are working on creating a leavers form which is to be put into the final viva examination paperwork.	New Action: Action 6 in New and On-going Actions
3.1c	The Careers Adviser conducts an annual follow up survey of those s/he sees for individual guidance appointments .	The Careers Adviser has sent out a follow up survey to those graduates who have sought careers advice over the past year. The survey is currently still open, but preliminary data indicate that out of 107 surveyed, just under half have replied (n=44) as of yet. All respondents have indicated that they are currently in employment. The Careers Adviser creates an annual report of the provision for researchers in August. The final data from this survey will be available in that report.	New Action: Action 6 in New and On-going Actions
3.1d	Development of business facing skills for researchers who don't necessarily want to stay in academia. Use of Professional exchanges to give researchers exposure to non-academic sectors.	The University provides an large variety of business and transferable skills training available to researchers at all stages of their career through the Researcher Development Programme(RDP) and through Staff Development. Workshops specifically discussing business facing skills are delivered through the RDP often in collaboration with the University's Entrepreneur in Residence. This allows the researchers to learn about business from an experienced businessman. A new Employer Connections Network has been established to encourage and support researcher engagement with business.	Extended in Action 8 in New and On-going Actions

3.1e	Encourage researchers to apply for Fellowships and give support and guidance. Make more use of academics who have been through this route or sit on panels. Share agreed researcher development objectives with Research & Enterprise Support (RES) so they can align support and target appropriate opportunities.	<p>A new strategy for encouraging people to apply for fellowships has been developed, made up of three specific steps; identifying individuals who are demonstrating the qualities necessary to be successful fellowship candidates, providing training for researchers interested in obtaining a fellowship (either now or in the future), providing support and mentorship during the fellowship application process.</p> <p>Step 1) Appraisal data should be used identify if researchers and line managers have discussed applying for fellowships during their annual review. This information should then be forwarded to RES who wish to identify all potential rising stars and match people to fellowship opportunities.</p> <p>Step 2) Working collaboratively RDP and RES have created a suite of training for any researchers interested in applying for fellowships. This consists of a suite of 5 workshops through the RDP, and a day long introduction to Fellowships delivered by RES. RES and RDP work closely together, participating in training together as appropriate. This suite of training has been created and is being rolled out this academic year (2012/2013). Three events have been held so far in 2012/13, with 28 participants. An additional three events are scheduled in the upcoming months. This series will now be a standard part of the training offered to researchers.</p> <p>Step 3) RES provides support for all researchers who are in the process of applying for fellowships. RES has put together comprehensive guidelines on the fellowship process and is able to provide advice and support at all stages. Furthermore, as soon as a fellowship candidate receives approval from the department head, they can be assigned a fellowship mentor by their faculty to help advise them through the application process. Internal panels assess all fellowship applications and provide feedback for candidates. This process is now in place. Last year 33 applications for fellowships were submitted. It is expected that the number will be higher this year.</p>	
3.1f	Develop researchers CV so as to optimise their chance of success.	Workshops on CV writing are delivered by the Careers Adviser through the RDP. Three such workshops were delivered in the 12/13 academic year. Researchers can also seek one-to-one advice from the Careers Adviser about developing their CVs for their fellowship application. 249 researchers contacted the Careers Adviser in 2011/12 to seek advice on developing/ obtaining feedback on their CVs.	New Action: Action 6 in New and On-going Actions
<p>3.2 A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.</p>			
3.2a	Ensure that researchers are aware of the different options available and that their skills may allow them to work in different areas.	The RDP programme, in collaboration with careers and the entrepreneur in residence deliver workshops specially designed to make researchers aware of their career options and the skills necessary for these different careers. There has been a 67% increase in ECR attendance in the past two years.	Extended in Action 8 in New and On-going plan

3.2b	Encourage mobility across the University through multidisciplinary networks based on strategic themes.	The University has specific multidisciplinary networks. Researchers are encouraged to participate in these networks and to form multidisciplinary collaborations. The University wide MiLES programme also helped facilitate these collaborations. Furthermore, specific doctoral training centres have been formed which encourage multidisciplinary working and placements within industry, for example the IDCs, ANGA CDT, EU MCITN, ESRC DTC.	Extended, See Action 14 in New and On-going Actions.
3.2c	Encourage exchanges with industry, business, hospitals, charities NGOs etc. to give a taste of other environments and other career paths available.	An Employers Connections Network has been created through a collaboration between RDP the 'Entrepreneur in Residence' and Associate Dean for Entrepreneurship and Innovation. This network currently consists of 95 businesses who have expressed interest in engaging with Surrey Researchers. Researchers are able to participate in a variety of business facing experiences, such as networking events, job shadowing, employer mentoring, short work place experiences, possibly leading to longer internships or industrial collaborations.	Extended in Action 8 in New and On-going plan
3.3 Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.			
3.3a	Ensure all researchers use Action Planner and undertake required training and development activities.	Surrey has a programme of training in communication and professional skills for research staff which are mapped on to the VITAE Researcher Development Framework. Through its Action Planner training needs analysis it identifies the needs of each researcher and tailors the training programme to fit these needs and enables the researcher to identify gaps in their development to fit these needs. Action Planner is now available to all researchers, as is access to training and development activities	
3.3b	The Careers Adviser is fully up-to-date on the CVs that employers both inside and outside Academia expect; this specific information needs to be conveyed to Researchers if they are to be competitive in the job market.	The Careers Adviser specifically dedicated to providing advice and training for researchers runs workshops through the RDP and bespoke workshops for specific faculties and programmes as well as individual one-to-one advice sessions. There has been a 50% increase in the uptake of careers services in the past two years. The Careers Adviser for researchers went for a 0.8 position to a FTE for the academic year 2012/13 due to this increased demand.	New Action: Action 6 in New and On-going Actions
3.4 All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.			
3.4a	The offering of work experience, shadowing or employer information interviews is to be formalised 2011/2012 by a joint initiative with the Alumni Office and the Careers Service.	An Employers Connections Network has been created through a collaboration between RDP the 'Entrepreneur in Residence' and Associate Dean for Entrepreneurship and Innovation. This network currently consists of 95 businesses who have expressed interest in engaging with Surrey Researchers. Researchers are able to participate in a variety of business facing experiences, such as networking events, job shadowing, employer mentoring, short work place experiences, possibly leading to longer internships or industrial collaborations.	See Action 8 in New and On-going actions
3.5 Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.			

		Promotion criteria are clearly stated within the Role Profiles. These are available on the HR website. Specific career planning and job hunting workshops are also available.	
3.5a	The recruitment of a new Staff Development Team will bring a stronger advisory service to staff in terms of identifying and meeting development needs.	A new Staff Development Team has been in place since early 2012.	
3.5b	Careers Adviser would have valuable contribution to make to activities involving raising awareness amongst Researchers of local and national career development strategies.	A careers adviser dedicated to researchers has been in place for the last 5 years and has been active in developing strategies to enhance researchers career development opportunities	New Action: Action 6 in New and On-going Actions
3.6	Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.		
3.6a	Ensure all contract researchers take part in Induction on an annual basis to identify their training and development needs. These can be met through a range of activities, through identifiable PDP / CPD elements. Consultation/collaboration (HR/SD/Faculties) would be required to fully exploit potential. Develop the Action Planner to help researchers in determining their training needs.	All ECRs undertake staff induction which CROS shows to be effective with scores above 94 group and all University benchmarks (Surrey 69.7%, 94 Group 53.9%, all Universities 54.3%).	Action 4 in the New and On-going Actions is an extension of this.
3.6b	The DHE Programme to enhance academic practice including researcher supervision are under development as a Postgraduate Diploma/Masters. Delivery is planned to begin early 2012.	A new Masters/Diploma is currently being written. This has been delayed due to the reorganisation of the team.	Action 9 in On-going Action plan. Due to be completed for Autumn 2014.
3.6c	Careers Adviser invited to join staff inductions to give a brief overview of the services provided by the Careers Service.	It was not practical to have a careers adviser attend every staff induction programme. Therefore, an information sheet about the career service provision has been created for new researchers and for new academics who will be supervising/managing researchers, informing them of the training and advice available to researchers.	New Action: Action 6 in New and On-going Actions
3.7	Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.		
3.7a	Researcher Development programme to ensure the VITAE Researcher Development Framework for research staff is comprehensively covered.	The Researcher Development Programme has mapped all provision against the RDF and has embedded the RDF into professional development planning through Action Planner. The ECR reps group continues to inform the RDP provision to ensure quality and relevance.	Extended: See Action 16 in New and On-going actions
3.8	Employers also should provide a specific research career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.		

3.8a	Every researcher should understand that they are responsible for their career development strategy and should meet with their supervisor/mentor to draw up a career development strategy which should be reviewed every six months.	An online action planning tool is available to support researchers as they create their personalised career development plans. During appraisals, line managers must consider development opportunities with members of researcher staff.	On-going Action: This has been divided into two new actions, Actions 4 (inductions, with career development component) and Action 12 (mentoring).
3.8b	All Researchers should be made aware of this process during induction and it should be included as part of annual appraisal process for all researchers.	Staff are introduced to University wide procedures including appraisal as part of induction. There is also specific appraisee training available to all staff, which discusses the importance of the appraisal to professional development.	Action 4 in the New and On-going Actions is an extension of this.
3.8c	It would be helpful if the Careers Adviser was included as one of the mentors available to Researchers when considering this action point.	The Researcher specific careers advisor has acted as a career coach/mentor for researchers.	New Action: Action 6 in New and On-going Actions
3.8d	Careers advisers already support Researchers wishing to explore careers which may be seen as a change of direction, by arranging work shadowing and/or meetings with personnel in specific non-academic jobs etc.	The Careers Adviser has contacts from a wide range of employment sectors, and has been able to arrange work shadowing, etc. through her informal networks. Careers is working to formalise this process through a collaboration with the Alumni Office, see action point 3.4a.	New Action: Action 6 in New and On-going Actions
3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.		
3.9a	Ensure that researchers take ownership of their training and development and that supervisors are aware of the courses that in place for ECR.	ECRs and their line managers are emailed at least quarterly about researcher development opportunities. The activities of various groups that provide support for researchers, The Researcher Development Programme (RDP), Staff Development and Department for Higher Education have been reviewed, and a new central website has been created to better highlight all available activities.	
3.9b	Institute a Researchers' Action Planner (along the same lines as that available for PGR) so that every researcher can tailor their training and development activities to their needs.	Researchers' Action Planner is available online to all researchers.	
3.9c	Through appraisal moderators ensure that all researchers are undertaking training and development activities and building up a portfolio which maps on to the RDF.	All training and development for researchers has been mapped to the RDF and available online for appraisal moderators.	See Action 10 in New and On-going Actions.
3.10	Researchers should be empowered by having realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.		

3.10a	We are working on ways in which to capture and action development needs that are captured as a result of the appraisal - within one year.	Appraisal processes are in place for all staff. Appraisals run on an annual basis. The appraisal 'window' runs from August to mid-October. Interim appraisals are available for assessment/development of individuals throughout the rest of the year. In 2012 there was improved capture of development needs from appraisals by faculty HR staff, which was enhanced again in 2013.	
3.10b	Careers Adviser would have valuable contribution in enabling Researchers to be aware of their careers options and the realistic feasibility of each. The prime responsibility of any Careers Adviser is to give impartial, honest and knowledgeable advice to clients	The careers advisers are all impartial (not linked to the faculty) and honest. The University has a full-time Careers Adviser, who specialises specifically in providing careers advice for researchers, so has specific up to date knowledge about these clients.	New Action: Action 6 in New and On-going Actions
3.11	Employers will wish to ensure that development activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not duly disadvantaged when moving from one employer to another.		
3.11a	Ensure ECRs take ownership of their training and development needs, institute Action Planner and review during appraisals.	Action Planner has been introduced for Research Staff in 2013 this action needs to be monitored from 2013.	
3.12	Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.		
3.12a	Researchers are provided with teaching and demonstrating opportunities.	Faculties provide as much teaching experience as is appropriate for their undergraduate programmes. The RDP and SPLASH are happy to offer opportunities for ECRs or PGRs to gain experience in providing short skills based teaching sessions for researchers or taught students.	
3.12b	DHE provides opportunities for researchers to develop their teaching practice. A programme "Teaching in Higher Education and evaluating practice" is available, as are additional workshops. Researchers with a high teaching load may progress to the Higher Education Academy accredited Graduate Certificate.	<p>The Graduate Certificate is designed first and foremost for academic staff who have less than three years prior teaching experience in HE. Any remaining places are offered to research staff and students. Therefore we do not actively advertise the programme other than through the website and within each faculty. The programme is Modular and Module 1 is designed to enable research staff to meet Associate Fellow status of the HEA. For those research staff who wish to progress we do offer the opportunity to go beyond Module 1 and additionally complete 2-4 which leads to the second stage of the HEA provision, Fellow status.</p> <p>Participant numbers:</p> <p>2010-2011 (first delivery of the Grad Cert): Module 1 only: 17 Module 1-4: 42, Total 56 – of these 19 were research students/staff</p> <p>2011-2012: Module 1 only: 3 Module 1-4: 57, Total 61. – of these 9 were research students/staff</p> <p>2012-2013 (current cohort): - Started Module 1 – Total 60 - 14 of who are research staff/students</p>	

3.12c	Ensure that the process for the allocation of teaching and demonstrating opportunities is open and transparent and complies with equality and diversity strategy.	Procedures are in place for specific department.	New Action: combine this with Equality and Diversity action to ensure it complies with University strategy. See action 20.
3.12d	Ensure that central training and Departmental specific training is provided to those wishing to undertake teaching and demonstrating activities.	DHE provides training for researchers engaged in teaching or who wish to engage in teaching. The RDP provides both central training for demonstrators, and bespoke department specific training for demonstrators.	
3.13	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation and management committees.		
3.13a	Faculties should ensure that all researchers are made aware of the Faculty decision-making processes and the committees on which they have representation in the Faculty and the University.		Modified in Action Point 11 in New and On-going Actions.
3.13b	The way in researchers are elected to decision making committees should be transparent and comply with equality and diversity policy.		Modified in Action Point 11 in New and On-going Actions.
3.14	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.		
3.14a	Review current mentoring/supervision arrangements.	Mentoring arrangements have been reviewed and there are a variety of schemes that demonstrate good practice. Mentoring relationships have been set up with members of our Executive Board for Academic Heads of Department who have attended the recent Leadership Programme and a programme of mentoring for female academics taking part in a women's leadership programme is being piloted. Furthermore, another mentoring scheme has been created targeting researchers at the very earliest level, in their final year of a taught programme, prior to starting a research degree. This programme pairing potential researchers with current PGRs aims to smooth the transition into research.	New Action: This point now has been extended to Actions 12 & 13 in New and On-going Actions
D	RESEARCHERS RESPONSIBILITIES		
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.		
5.1a	Embed the commitments laid out in the concordat to support research Integrity into compulsory PGR training	This is central to the research ethos of the University detailed in: Code on Good Research Practice. Approved by Council: 19 July 2007. Amendments approved by Senate on 19 November 2009, 23 February 2010, 15 February 2011 Last revised (minor amends): UREC 18 Sept 2012. The Principles are embedded within compulsory training for PGRs and academic supervisors.	Action extended: See Action 15
5.1b		University and Faculty Ethics Committees – There is a well-established process for university researchers to submit their research proposals and accompanying documents to the University Ethics Committee (for staff and PhD research) and Faculty Ethics Committees (for undergraduate and taught post-graduate research).	

5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.		
5.2a	Deliver training on knowledge transfer, policy making, commercialisation, and related topics.	Training is available to PGRs, ECRs and academics through the Researcher Development Programme: http://www.surrey.ac.uk/library/researcher/pgr/workshops/working_with_business.htm	
5.2b	Look at feedback from current workshops and look at results from Action Planner to determine where gaps in provision exist and design courses to fill them.	The RDP provision is reviewed biannual, taking into consideration participant feedback, Action Planner data and input for the ECR reps committee.	
5.2c	Look at Feedback from the CROS, PRES and PIRLS surveys to determine gaps in this provision and design appropriate training.	There has been a 46% increase in the number of sessions offered to ECRs, the training needs identified in the CROS and PIRLS have been used to expand the current training provision. There has been a 15% increase in number of PGR sessions (267 session in the last academic year). Increased provision was based on PRES results and PGR demand.	
5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.		
5.3a	Ensure that research staff members are made aware of their responsibilities during induction.	Researchers are made aware of their responsibilities during induction. CROS results indicate that researchers feel that 74.6% found the information they were given on their rights and responsibilities useful (compared to 48.2% nationally and 47.2% in the 94 group) which demonstrates the University's dedication to research integrity. Code of Good Research Practice - approved by Council: 19 July 2007. Amendments approved by Senate on 19 November 2009, 23 February 2010, 15 February 2011 Last revised (minor amends): UREC 18 Sept 2012]	See Action 4 in New and On-going Actions
5.3b	Ethics workshops for faculty staff on ethics committees.	Good Practice in Research Ethics Workshop put together by AREC. AREC is an independent, self-governing body of Research Ethics Committees, local and multi-centre, including their members and administrators. Ethics training organised by research governance Office. e http://www.arec.org.uk/ (Quality Enhancement Workshop 08.10.12).	
5.3c	Ethics workshops are under development for PGRs and ECRs.	The Ethics Committee delivers workshops for researchers at all levels throughout the year. PGRs and supervisors are told about their respective ethical responsibilities during compulsory training courses.	
5.4	Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.		
5.4a	Review researcher training and development bi-annually.	CROS 2013 indicates that 71.2% of our ECRs felt encouraged to engage with professional and career development. This is similar to, but lower than the national average. This should be addressed in the revised action plan.	On-going Action: amended to action 10 in New and On-going Actions
5.4b	Review researcher training and development annually.	The RDP provision is reviewed biannual, taking into consideration participant feedback, Action Planner data and input for the ECR reps committee.	

5.5	Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.		
5.5a	Supplement with Action Planner.	Online Professional development action planner based around the RDF is available online for all researchers	
5.5b	Needs collaborative development.	The activities of various groups that provide support for researchers, The Researcher Development Programme (RDP), Staff Development and Department for Higher Education have been reviewed, and a new central website has been created to better highlight all available activities.	
5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.		
5.6a	Supplement with Action Planner.	Online Professional development action planner based around the RDF is available online for all researchers.	
5.6b	Integrate Careers Service early in researcher appointment so that every researcher is taking charge of their own career development strategy.	ECRs receive information about careers provision at induction. All researchers have access to a Careers Adviser specifically dedicated to providing careers advice for researchers.	New Action: Action 6 in New and On-going Actions
E	EQUALITY & DIVERSITY - ANGIE COUSINS		
6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, gender, race, religion or belief and sexual orientation. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to publish equality objectives to address specific issues of under-representation or lack of progression.		
6.1a	To ensure that specific equality objectives for the area of research are incorporated into the University's equality scheme – within one year.	Equality and diversity plans and monitoring are in place and are embedded within University processes. This is reflected in the University Strategy and the HR Strategy. The University has developed an equality scheme which sets out the actions the University commits to undertake to meet the general duty of the Equality Act 2010. Specific Equality Objectives for research have been incorporated into the University's Equality Scheme Action Plan which is reviewed every 3 years.	See Action 18 in New and On-Going Action plan
6.2	As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.		
6.2a	To ensure that effective and targeted equality and diversity training is undertaken by all staff involved in the recruitment and management of research staff.	The University endorses this as a legal requirement and actively monitors diversity in the workplace. This is covered in the Recruitment Code of Conduct.	See Action 19 in New and On-Going Action plan
6.2b	To review current methods of advertising vacancies to ensure recruitment from a wide pool of available talent – within one year.	On line advertising reaches a global audience and includes overseas. As the norm, advertising for all research vacancies is done nationally and internationally via web. Processes for recruitment are under evaluation as part of HR Improvement Programme and the introduction of Stonefish (new recruitment system) which has now been implemented.	

6.3	It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.		
6.3a	To hold a focus group to openly discuss and draw out issues with a diverse group of staff involved in research– within 6 months.	The University had an Equality Analysis toolkit (Marshall ACM) which was used to look at the impact of research practices on staff groups. This has now been superseded by an in-house equality analysis package overseen by Business Support Services. Focus Group took place on 27th Nov 2012 with 18 members of staff involved in REF 2014 run by external trainers from Oxford Brookes	See Action 20 in New and On-Going Action plan
6.4	Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.		
6.4a	To undertake an Equality Analysis of Research Practices on Staff Groups for example those with atypical career paths and how this affects career outcomes – within 6-12 months.	The University of Surrey's flexible working policy has been developed to bear in mind its commitment to equality of opportunity and the intention of helping members of staff balance their commitments and interests outside work with their contractual duties and responsibilities. This policy is open to all University staff and not just those with caring responsibilities. Flexible working is additionally supported through Athena SWAN and the REF. Equality Analysis undertaken in July 2012 as part of the REF Process and second stage of Equality Analysis was undertaken in Dec 2012. Further analysis to be undertaken following this process in December 2013.	
6.5	It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.		
6.5a	To review the take up of flexible working by staff involved in research and in particular to analyse application and approval rates and consider any barriers to research staff working more flexibly – within 4 months.	A flexible working policy has been implemented and promoted across the University. This policy is reviewed on an annual basis by HR.	
6.6	Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.		
6.6a	HR Managers to undertake equality analysis to ensure that at a local level additional funding provision is reaching those who need it.	Provision is made by the University to cover cases of maternity/paternity leave. This is also true of statutory redundancy pay.	
6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is “representative” will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.		

6.7a	Diversity statistics particularly relating to gender, disability, ethnicity and age of staff at all staff levels to be published on the Equality and Diversity Website.	In the interests of transparency and positive equality outcomes, The Equality Act 2010 requires all public bodies to publish information relating to the profile of their employees and service users on an annual basis. The University Recruitment Code of Practice and the Equality and Diversity Policy promote representative balance in recruitment and subsequent career stages. Diversity statistics are monitored and reported upon by the Equality and Diversity Team. Diversity statistics are published on E&D Website and updated annually.	
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups		
	Review Equality Analysis of Research Practices to ensure they meet the particular needs and diverse circumstances of all staff groups, in conjunction with HR.	All work practices are supported by flexible working where applicable. Those with specific personal needs are accommodated where possible or working solutions are found. Support is provided where English is not a first language.	On-going Action: Action 20 in New and On-going Actions
6.9	All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties. The University is introducing a mediation service for managing conflict within the workplace and the E&D team is available to offer guidance relating to harassment and bullying.		
6.9a	To include information about support and guidance regarding discrimination, bullying or harassment on the University webpage 'Research Staff Forum'.	Clear guidance and policies are available in these areas either via Equality and Diversity or HR web pages. HR are currently managing a mediation process which is being revised in 2013. This has been put back and there is a working group including HR and E&D to feedback their findings to EDC 25th July 2013. Appropriate information re support and guidance is posted on website. Harassment and Bullying policy updated January 2013.	
6.10	Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.		
6.10a	To actively work towards achieving the Bronze award of the Athena SWAN Charter.	Athena SWAN University Bronze award submitted Nov 2012. The University is participating in a number of schemes to promote Equality & Diversity within its research activity. Submitted an Athena SWAN University Bronze award in Nov 2012 with Departmental awards planned for submission over the next two years. Project JUNO application planned to be submitted during 2013. Stonewall membership commenced January 2013. University of Surrey achieved an Athena SWAN University Bronze Award in April 2013.	Extended: See Action 21 &22 in New and On-going Actions
F	IMPLEMENTATION & REVIEW		
7.1	The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.		
7.1a	Concordat implementation group endorsed by	HR Excellence working group created to oversee the implementation of actions	On-going Action: Action 24 in New and On-

	senior management has been introduced. Regular reviews will be undertaken to evaluate progress and implement improvements where appropriate. This group will also review targets set out in HR Excellence Action Plan. This action has been superseded by 7.1b and 7.1c.	within this Concordat. This group is endorsed by senior management with the DVC Research & Innovation being the Chair. The University additionally participates in the Careers in Research Online Survey (CROS) and Postgraduate Research Experience Survey (PRES) to receive feedback on and review the experience of researchers. The results of PRES and CROS are reviewed by appropriate working groups, and an action plan drawn up. The University is also planning to take part in Principal Investigators and Research Leaders Survey (PIRLS) 2013. All Researchers are covered by the same terms and conditions as other staff, therefore they fall into the mainstream management and career development processes and procedures.	going Actions
7.1b	Continue to take part in CROS and PRES.	The University of Surrey plan to take part in both CROS 2013 and PRES 2013. Both surveys will be completed by end of July 2013 where findings will be analysed and action plans drawn up.	
7.1c	HR Excellence working group to ensure Concordat's principles are implemented across the University.	The group meets four times per year and updates to actions are collated. The University is also planning to take part in Principal Investigators and Research Leaders Survey (PIRLS) 2013. All Researchers are covered by the same terms and conditions as other staff, therefore they fall into the mainstream management and career development processes and procedures. The PIRLS survey will be finished by end of July 2013 where findings will be analysed and action plans drawn up.	On-going Action: Action 23 and 24 in New and On-going Actions
7.2	The signatories agree: (a) to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress, (b) to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat,(c) to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report, (d) to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS). (e) to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).		
7.2a	Ensure the University of Surrey complies with the Concordat.	HR Excellence Working Group created to oversee the implementation of the actions within this Concordat. This group is endorsed by senior management with the DVC Research & Innovation being the Chair. The Group meets four times a year and updates to actions are collated.	On-going Action: Action 24 in New and On-going Actions
7.3	The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat.		
7.3a	Ensure the University of Surrey complies with the Concordat.	The University recognises the importance of the principles of the HR Excellence in Research Concordat and has embedded them across the work of the University. Library and Learning Support are part of the Vitae South East Hub Trainers' Consortium. The group meet to discuss training and development issues for research students and staff, specifically sharing ideas, resources, discussing problems, collaborating and networking.	On-going Action: Action 24 in New and On-going Actions
7.4	The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process.		

	Share and promote any identified good practices across the University.	The diverse representatives of the HR Excellence in Research Working Group enable the capture of good practice to be shared across all areas within the University environment.	On-going Action: Action 24 in New and On-going Actions
7.5	Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.		
	To identify a series of Key Performance Indicators for Equality and Diversity.	The Equality action plan brings together all the protected characteristics under the Equality Act 2010. This sets out the action the University commits to undertake to meet the public sector duty as stated on the Equality and Diversity web page. The action plan represents a continually evolving culture that permeates all the staff and student members of the University, their business partners and visitors to campus. The action plan is reviewed on an annual basis to ensure that it takes account of the changing environment of the University and, more generally, Higher Education and compliance to the Equality Act 2010.	