UNIVERSITY OF SURREY

Concordat Section	Action Ref. Number	Action	Previous Related Action(s)	Success indicators	Lead	Next steps to progress actions	Initial Review Deadline	Final Review Deadline	Action Status	Outcome of Actions
Principle 1: RECRUITMENT & SELECTION	2014_1	Undertake an Equality Pay Audit	1.2a, 1.5a	Audit report detailing findings/recommendations from Equal Pay Audit.	Human Resources	Human Resources, Equality & Diversity and the unions to work collaboratively in undertaking an Equality Pay Audit.	Review completed by Dec 2014	Dec-14	COMPLETED	2014 Audit completed and being published on web. Monitoring pay data regularly through annual salary reviews and seeking ongoing improvement in equality and implementation of policies going forward is essential. Process embedded and further EPA to be conducted in 2017.
Principle 1: RECRUITMENT & SELECTION	2014_2	Further develop Temporary Employee Policy	1.3a	Implementation of a revised policy.	Human Resources	Human Resources and unions to develop the Temporary Employee Policy by working together focusing on the employment of research staff across the University.	Policy completed by Dec 2014	After policy is implemented review Annually.	COMPLETED	The new Fixed Term Employee Policy became live in May 2014. The policy is reviewed annually or in line with statutory changes.
Principle 2: RECOGNITION & VALUE	2014_3	Enhance the researcher culture across the University so that PGRs and ECRs feel integrated in to the University's researcher community.	New Action based on CROS and PRES results and researcher input	1) More researchers on the PRES and CROS indicated they feel integrated into/satisfied with the University's researcher community and culture. Currently 60% and 66% respectively; target >70%. 2) Increased PGR and ECR participation in University wide activities and events (target 15% increase).	DVC of Research and Innovation	Review the current structure and scope of researcher support and provision to determine a strategy for enhancing the University's researcher community.	Nov-14	Jan-16	FURTHER ACTION REQUIRED	Positively, the delivery and uptake of training is increasing: the number of workshops delivered specifically for ECRs has increased by 258% (229 events) over this four year period, with a 363% increase in up take (805 people attending all workshops) compared to the previous 4 years. However, in reviewing the results from PIRLS,CROS 2015 and the from feedback from ECR Reps committee it is clear that the integration of PGRs and ECRs into the University's research culture is an area that still needs to be addressed. Therefore, the University has reviewed the current structures and proposed the development of a 'graduate school' and will ensure that ECRs are integrated into the new structures, informed the by the inclusive Research Strategy. Moving forward, this action will be captured within a series of new, more focused actions within the 2016-2020 HR Excellence in Research Action Plan, aimed at addressing the "identity" of ECRs at the University of Surrey. This action will greatly benefit from the renewed impetus associated with the research strategy launched in 2015. (See Actions 2016_1, _2, _3, _4 &_5)
Principle 2: RECOGNITION & VALUE	2014_4	Introduce a new Researcher specific induction to help researchers settle and develop as effectively as possible.	2.1b, 3.6b, 3.8a	Introduction of a Researcher specific Induction.	Staff Development	Review and develop new induction programme specifically for researchers	Continuous review of feedback, Annual review of new induction starting Nov 2014	Jan-16	ACTIVE PROGRESS	A new Research Induction programme commenced January 2016. The programme is aimed at all research active staff to inform them of the latest developments on the University's Research Strategy, goals and the external funding landscape. The induction also aims to highlight support available across the University. Research Events Co-ordinator will monitor attendance and feedback and review content annually via the Research Training Forum.

In addition, we have developed online 'local' induction packs for each faculty to introduce all staff to key information including research support, research strategy and organisational structure, as well as, professional development training and support. Completed October 2015. Now that these resources are in place, the future plan will focus on ensuring the effectiveness of this induction resource in engaging ECRs (Action 2016_5). |
Principle 2: RECOGNITION & VALUE	2014_5	Assess and reward good line manager performances in managing, appraising and developing researchers.	2.3a	Really good practice in managing, appraising and developing researchers is identified	Staff Development	Ensure managers understand their responsibilities in performance managing researchers.	Nov 2014, and review annually	Jan-17	ACTIVE PROGRESS / FURTHER ACTION REQUIRED	The emphsis of the past years has been on developing high standards in performance management. This is a core aspect of our development programme for all staff. Collegiality, administration, leadership and management are values recognised in the annual academic appraisal process. The future action plan will move beyond our ability to monitor to look at reward best parctice in managing researchers (Action 2016_6)
Principle 2: RECOGNITION & VALUE	2014_6	Augment the leadership and management development suite to ensure the leadership of researchers is covered.	2.3a	Development and embedding of a leadership and management programme for staff leading research teams.	Staff Development	Develop and introduce a programme focusing on the skills of managing and leading research teams.	Nov 2014, and review annually	Jan-16	COMPLETED	The University has now embedded a detailed suite of programmes that enables those managing and leading researchers to take a detailed and fuller view of an individual or team. In 15/16 we are offering a total of 23 different opportunities specifically around leadership and management skills.
Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_7	Careers development for researchers has made a great deal of progress since Surrey achieved its HR Excellence badge. In Autumn 2013, Careers underwent a restructure. Therefore, the HR Excellence Committee must ensure that the excellence in support of researchers that has been established is maintained. Provision should be reviewed annually with immediate action to be taken if the...	1.4; 2.1b,c,d; 2.3c ,d; 3.1a,b,c,f; 3.3b; 3.5b; 3.6c; 3.8c,d; 3.10c; 5.6b	1) Maintain levels of researcher uptake of careers provision. 2) Continued positive feedback from researchers about the quality of provision.	Careers	Careers provision Uptake data and feedback must be collected and presented to HR Excellence committee.	Initial Review Deadline, June 2014. Review annually thereafter.	Jan-16	FURTHER ACTION REQUIRED	Due to the emerging plans for the development of a Graduate School in 2014 a specific careers role was put on hold, to allow the provision to potentially be embedded in the new Graduate School. RDP has taken on an interim role in providing some support and have been able to scope the provision needed, including a post-doctoral focus. However, feedback from the ECR reps committee demonstrates the need for the University to better support the career development of researchers. Therefore, provision of career support/service has been identified as a key area to focus on in the 2016_20 HR Excellence in Research Action Plan. (Actions 2016_8, _9, _10)
Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_8	Create a University wide coordinated approach to employer engagement with researchers. Ensure that researchers at all levels have access to a variety of opportunities to engage with employers; such as networking events, employer mentoring, job shadowing, short and longer term work experiences.	3.1d; 3.2a &c; 3.4a	1) Establish a University-wide procedure by which researchers and business/employers can find out about each other, building on the Employer's Connections Network. 2) Researchers at all stages increasing the amount of contact they have with employers and businesses; at least 15% increase in attendance at networking events and workshops, and 15% increase in job shadowing and short work experience.	Researcher Development, Entrepreneur in Residence and Associate Dean for Entrepreneurship and Innovation.	An Employer's network of 95 people has been established and initial events have started to take place. This should continue to be supported. Create a working group that can capture better current practice, and share good practice across the Universities. Encourage researchers to create profiles.	Initial meeting of working group, by May 2014. Review every six months as this is an area of new development.	Jan-16	FURTHER ACTION REQUIRED	Researcher Development Programme have initiated an employer engagement programme, putting together a working group, and undertaking four networking evening, job-shadowing etc, and starting an employer mentoring scheme (19 mentor pairs matched to date). The programme is in its infancy and not yet embedded across the University. However, it has recieved positive feedback, and therefore, will be expanded as part of the 2016_20 HR Excellence Implementation Plan. (Action 2016_10)
Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_9	The DHE Programme to enhance academic practice including researcher supervision are under development as a Postgraduate Diploma/Masters.	3.6b	1) Programme established and open for registration 2) Researchers enrolling on programme.	Department of Higher Education	This is well on its way to being fully developed. Anticipated first cohort in Autumn 2014	Programme established by Sept 2014. Monitor enrolment annually, thereafter.	Jan-16	COMPLETED	The programme was fully established in 2015. (http://www.surrey.ac.uk/postgraduate/higher-education)
Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_10	Professional development opportunities to be publicised and supported by senior faculty members, with ECRs encouraged to take up to 10 days per year for their personal / professional development	3.9c, 5.4	1) Increased number of researcher reporting that they are encouraged to engage in professional development in the CROS 2) Department heads ensuring that both academic staff and research staff members are aware that the departments support the professional development of researchers. 3) Better lines of communication between department heads and the providers of professional development for researchers.	Faculties	CROS 2013 indicates that currently 71% of research staff members feel encouraged to participate in professional development. Next steps are to establish areas of good practice and share this with department heads.	Sept 2014, review every six months to ensure strengthened communication becomes part of the culture.	Jan-16	FURTHER ACTION REQUIRED	The University's ECR Representatives Committee indicates that there are excellent examples of good practice in specific departments such as Physics. The next critical phase for this is to ensure it is a University wide practice, and will become a key action in the development of the Graduate School, and the 2016_2020 HR Excellence in Research Action Plan. The first action is to look at effective comminication strategies (Action 2016_5), the second is to ensure that the professional development offered is supported by faculties and valued by researchers (Action 2016_10).
Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_11	Integrate and include researchers in academic and staff meetings and on faculty and University committees, especially those that make decisions which effect researchers. Nomination on such committee should be done in a fair and transparent way.	3.13a, 3.13b	1) increased staff attendance at staff meetings as documented by CROS, staff surveys and qualitative reports. 2) Increase presence of researchers on University wide committees. Specifically at least ECR on all Faculty committees dealing with research and PGR representation on Faculty Graduate School (or equivalent), numbers depend on PGR population and number of programmes.	Faculties and Committees	To progress this action we need to engage with departmental heads and identify University wide good practice, which should then be shared. We also must identify the committees which would be most appropriate for researchers to sit on (i.e. have the most impact on the researchers themselves or help to advance their career development).	Review numbers of ECRs on committees by Sept 2014 to determine if action is on target. Review annually to ensure increased trend in participation is sustained.	Jan-16	ACTIVE PROGRESS	Reviewing the current committees and decision making bodies in place to support research, it is clear that these structures could be improved to better allow for the positive integration of PGRs and ECRs. As a result we are developing a Graduate School alongside refreshing the research governance across the University. In the interim some positive improvements include greater inclusion of an ECR representative on the HR Excellence Committee and a member of Research and Enterprise Support will attend the ECR reps committee. The review of research governance committees will include the transparent release of terms of reference and membership on the University webpages allowing ECRs and the University to ensure appropriate attendance at committees. See Action 2016_5.

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Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_12	Expand the good practice in mentoring which has been established during the first two years of HR Excellence, making these opportunities available to the wider researcher community. Particular focus should be for ECRs.	3.8a, 3.14a	1) Expansion of mentoring provision in terms of increased opportunity and increased uptake. 2) Positive feedback about the effect of mentoring on researchers' career and professional development.	Staff Development and Researcher Development working with Faculties	Create a working group to share good practice in mentoring across the campus. Prepare guidelines/recommendations for researchers and mentors on how to establish and maintain mentoring relationships. Create a strategic plan which would make mentoring opportunities more widely available to ECRs.	Creation of working group by summer 2014, guidelines and strategic plan by Jan 2015	Jan-16	ACTIVE PROGRESS	Staff Development and Researcher Development Programme have launched a university-wide mentoring program with planned training and follow-up actions to look at feedback, to complement local department specific mentoring schemes. Pairings are made based on mentee's developmental needs and mentors are provided with support and guidance including specific mentoring briefing sessions. A key area for the mentoring programme is ECRs, and improvements in accessing information on the scheme and other useful resources are planned for 2016. There have been a total of 122 mentor/mentoree pairings, across a range of researcher career stages, thus fair and the University was shortlisted for a Times Higher Award for Outstanding Support for Early Career Researchers based on its mentoring provision. Mentoring will continue to be a key part of our researcher development and employability provision. See Action 2016_10.
Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_13	Provide opportunities for PGRs, ECRs and academics to develop mentoring skills.	New Action based on CROS and PRES results and researcher input	1) A programme of flexible events and training to develop specific mentoring skills. 2) Researcher participation in this training programme.	Staff Development and Researcher Development	Identify all mentoring skills support available on campus. Determine the needs of researchers and how these match with available training.	June 2014, and continue to monitor training uptake annually	Jan-16	COMPLETED	A key component of the mentoring programme launched by Staff Development and Researcher Development Programme is mentor training. This includes training workshops, including those on active listening and cultural awareness and guidance including specific mentoring briefing sessions. A key area for the mentoring programme is ECRs, and improvements in accessing information on the scheme and other useful resources are planned for 2016. There have been a total of 122 mentor/mentoree pairings, across a range of researcher career stages, thus fair and the University was shortlisted for a Times Higher Award for Outstanding Support for Early Career Researchers based on its mentoring provision. Mentoring will continue to be a key part of our researcher development and employability provision. See Action 2016_10.
Principles 3 & 4: SUPPORT & CAREER DEVELOPMENT	2014_14	Increase opportunities for researchers to establish multidisciplinary networks and collaboration, and provide activities and events which inspire researcher creativity, supporting the University's new Collaboration Surrey Initiative.	3.2b	1) ECR engagement with the Collaboration Surrey initiative. 2) ECR uptake of events designed to encourage collaboration and creativity. 3) Increased multidisciplinary research projects and funding bids. (have to establish baseline, before specific % can be applied to this target, action strategic working group).	RDP and Collaboration Surrey	Establish a strategic working group on multidisciplinary collaboration and creativity to inform University strategy on teaching and research at senior management level. Plan a series of events to support creativity and collaborations	Establishment of Strategic working group by Jun 2014, review every 6 months as initiative is at an early stage.	Jan-16	FURTHER ACTION REQUIRED	There has been a delay on this action, as the Collaboration Surrey initative was discontinued, however the more recent development of the Research Strategy has included the creation of cross disciplinary thematic areas for the University to focus on. The appointment of a Director of Strategic Research, Relationships and Strategy has prompted a series of new initiatives including the "Ideas Generator" workshops encouraging researchers to share their ideas in a multidisciplinary platform. The HR Excellence in Research Committee will continue to work closely with the Director and progress further work in this area. 5 ECRs were in attendance at the most recent Ideas Generator session. Specific actions to move this forward are within the new action plan (See Action 2016_11, and 2016_13).
Principle 5: RESEARCHERS RESPONSIBILITIES	2014_15	Ensure that the principles of the Concordant for Researcher Integrity are embedded in to University procedures and policy and that all researchers are aware of their responsibilities.	Extension of 5.1a, based on University initiative to ensure awareness and compliance with Concordant for	1) University policy and procedures are all aligned with the Concordant for Researcher Integrity. 2) There is evidence that researchers at all levels are aware of their responsibilities.	Research Enterprise support	Research Integrity Committee creating an action plan to ensure concordat principles are embedded.	April 2014 initial audit, review from that date to ensure continued best practice and increased awareness.	Jan-16	ACTIVE PROGRESS	A great deal of progress has been made on this action, led by the Research Integrity Committee which oversees the implementation of the Concordat to Support Research Integrity. The work to date 2014 - 16 has focused on; 1. Streamling and improving ethics processes at the University 2. Managing the expectations and University approach to Sponsorship of studies involving the NHS 3. Developing a research misconduct procedure 4. Developing content for training. The focus for 2016-20 will move to dissemination and best practice. (See action 2016_5)
Principle 5: RESEARCHERS RESPONSIBILITIES	2014_16	Ensure all ECRs are aware that they need to take ownership of their career development and have the tools to plan and document their professional development.	3.7a	1) In CROS, more researchers report taking ownership of their own career development. 2) In CROS more researchers report keeping record of their professional development 3) Qualitative reports indicate ECRs are confident in planning their professional development 4) More ECRs engage in career development and employability training and support opportunities (>15% increase).	Researcher Development and Staff Development	Create and deliver researcher specific inductions (as per above action) with understanding how to take control of your career development as a key learning objective. Determine the most effective way to communicate the variety of opportunities Surrey researchers have to enhance their experience and CVs.	Sept 2014 and review uptake annually	Jan-16	FURTHER ACTION REQUIRED	The CROS survey did not show improvement in this measure and feedback from ECRs shows that there is still need to further work on this action. The development of the Graduate School will encompass this initiative and ensure that the provision is focused on enabling and inspiring researchers to take the lead in their development by providing skills and planning tools. In the last 2 years we have trialled a number of ways of engaging researchers with their professional development, online and face to face, none have proven to be the right solution. To move this forward we are evaluating the resources available to support researcher career development with the view to overhaul our offering, guided by ECR, academic and employer feedback. (See Actions 2016_8, _9, _10)
Principle 5: RESEARCHERS RESPONSIBILITIES	2014_17	Increase researchers' understanding of the importance of their role in research impact, knowledge exchange, public engagement and influencing policy and valuing ECRs contribution to these activities.	New Action based on CROS results	1) Create a suite of training to raise researchers' awareness of these issues and why they are important. 2) ERCs engagement with training programme. 3) Increased researcher participation in public engagement and knowledge exchange. 4) Greater percentage of researchers reporting that they are recognised and valued for contributing to these activities (CROS 2013 indicated that ~50% of ECRS did not feel these activities are applicable to them).	Researcher Development and Research Enterprise support	Determine training already available in the University and where gaps lie. Put together suite of training. Create a website to advertise public engagement at the University and various opportunities. Look at possibility of an award scheme to recognise ECRs who are contributing to these activities.	June 2014 determine specific gaps and plan for training, review progress every six months during implementation stage.	Jan-16	ACTIVE PROGRESS	There are examples of good practice in this area, including a lively Public Engagement Forum with a mix of research and professional services staff sharing ideas and plans for impact at an individual or department level. RDP launched an Aiming for Impact workshop in 2013. The Research Training Forum brings together staff from RDP, Staff Development, RES and faculties to deliver a more joined up training provision. The University has recently appointed an Impact Officer who will work with the Research Training Forum to develop impact specific training for ECRs in the next year. Feedback from the Public Engagement forum highlights the need for a resource pack for researchers on accessing support on engagement. Work will begin on this in 2016. (See Actions 2016_12, _13)
Principle 6: EQUALITY & DIVERSITY	2014_18	Equality & Diversity plans embedded within the University Strategy, i.e. HR Strategy, Equality Scheme.	6.1a	Plans in place and embedded within strategies.	Equality & Diversity	Review annually Equality & Diversity plans to ensure they are aligned to University Strategy and HR Strategy.	Achieved and due for review Oct 2014 and annually thereafter.	Jan-16	COMPLETED	The University has launched (March 2015) new Equality, Diversity and Inclusion Strategy 2015-17 and has ensured alignment with University Strategy, HR Strategy and Learning & Teaching Strategy.
Principle 6: EQUALITY & DIVERSITY	2014_19	Ensure that targeted equality training is undertaken by all researchers.	6.1b	All researchers are offered equality training. Reviewed on an annual basis.	Staff Development	E&D to work collaboratively with Staff Development to ensure that effective and targeted equality training is undertaken by all researchers.	Training is in place and uptake is monitored annually	Jan-16	COMPLETED	Equality and Diversity training is offered through an online module which is available to all staff, who are encouraged to undertake this and refresh every 2-3 years. Unconscious bias training workshops are offered on a monthly basis and all staff are invited to attend. The change of platform for these online modules will allow the University to assess levels of engagement in training by different groups of staff and report on training completion rates to the Equality and Diversity Committee. This will be used to tailor interventions to promote greater engagement by particular groups of staff.
Principle 6: EQUALITY & DIVERSITY	2014_20	Review Equality Analysis of Research Practices to ensure they meet the particular needs and diverse circumstances of all staff groups, in conjunction with HR.	6.3a, 6.8a	Staff group needs are met.	Human Resources	Quantitative and qualitative analysis of data and actions captured within the equality analysis.	Equality Analysis procedures in place and will be embedded across research areas by 2016.	Jan-16	COMPLETED	Equality Analysis roll-out has been undertaken on significant policy and initiatives and has been extended throughout 2015-16.
Principle 6: EQUALITY & DIVERSITY	2014_21	Implement 2014 Athena SWAN Departmental Programme Plan.	6.10a	Six Departments having submitted applications for Athena SWAN Departmental awards.	Athena SWAN Project Manager	Athena SWAN Project Manager to continue to work with Departments in preparing Athena SWAN submissions.	Departmental Programme plan instigated. Two departments due to submit by April 2014 and 6 more by November 2014.	Dec-14	COMPLETED	The Athena SWAN Project Manager developed an Athena SWAN Departmental Programme Plan and led on the submission of six departmental Athena SWAN applications by end of December 2014 - Psychology, Mathematics, Centre for Environmental Strategy, Electronic Engineering, School of Health Sciences and School of Biosciences and Medicine. All submissions were for a Bronze level award apart from Psychology who went for a Silver award. Unfortunately Psychology and Mathematics were both unsuccessful. The four other remaining submissions were successful.

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Principle 6: EQUALITY & DIVERSITY	2014_22	All STEMM Schools/Departments to have applied for Athena SWAN Departmental Awards.	6.10a	All STEMM departments across the University to have submitted an application for Athena SWAN Departmental Award.	Athena SWAN Project Manager	Athena SWAN Project Manager to continue to work with remaining STEMM Departments in preparing Athena SWAN submissions.	Remaining STEMM departments to submit applications by Nov 2015.	Dec-15	ACTIVE PROGRESS	Psychology, Mechanical Engineering Science and Civil and Environmental Engineering have submitted for Athena SWAN in November 2015. Maths, Chemistry, Computer Science and Economics are submitting in April 2016, the Surrey Business School in November 2016. The University award is up for renewal in April 2016 too. Physics and The School of Veterinary Medicine are yet to commit to a date. A number of departments in the Faculty of Arts and Social Sciences (FASS) are contemplating submissions in the near future. The School of Health Science is going to submit for a Silver award in Nov 2016 and the School of Bioscience and Medicine is also contemplating applying for a Silver award too. **(See Actions 2016_14, _15)**
Principle 7: IMPLEMENTATION & REVIEW	2014_23	Analysis of PIRLS 2013 to be completed and fed into action plan.	7.1c	A number of recommendations resulting from PIRLS 2014	Research and Innovations Support	Make recommendations to address issues identified through the analysis of the PIRLS 2013 survey data.	Analyse data by June 2014 identifying gaps and making recommendations to address them with on-going review.	Jan-16	FURTHER ACTION REQUIRED	Due to changes in priority and challenges in resourcing this, the PIRLS 2013 data were not analysed at the time of receipt. In combination with the 2015 results, the PIRLS results were "light touch" reviewed and discussed at the HR Excellence Committee to potentially incorporate the findings into the 2016_20 HR Excellence in Research Action Plan. The University is now investigating the best way to gain feedback from the ECR community due to low responses for the recent PIRLS and CROS survey. This may result in The University's Staff Survey being altered and monitored. **(See Actions 2016_16)**
Principle 7: IMPLEMENTATION & REVIEW	2014_24	Ensure HR Excellence action plan is aligned to other University action plans such as Research Integrity, Athena SWAN to enable strategic alignment.	7.1a, 7.1b, 7.2a, 7.3a, 7.4a	Joined up governance of University action plans	HR Excellence Working Group	Review action plans to ensure they complement each other are joined up and aligned to University's aims and objectives.	Research Governance Committee will review action plans relating to research activity by June 2014 and review annually thereafter.	Jan-16	FURTHER ACTION REQUIRED	A revised Research Governance Committee launching early 2016 will have oversight of HR Excellence, Athena Swann and the Concordat to Support Research integrity. The groups, committees developing the action plans will report into this committee and provide action plans as appropriate. The Governance Committee will review and look for overlaps or areas of synergy and provide feedback. **(See Action 2016_17)**