

Action Plan & Gap Analysis to Support the Implementation of the Concordat to Support the Career Development of Researchers



Introduction

The Needs Analysis and Action Plan that is included in this document was led from the office of the Deputy Vice Chancellor for Research and Innovation (DVC R&I). The team who put the Needs Analysis and Action Plan together were drawn from across the University and included representation from Human Resources; Student Care Services; The Researcher Development Programme; Research and Enterprise Services; Registry; Library; Careers and representation from the four Faculties within the University. This group will form the basis of the University's Concordat Implementation Committee, which will be Chaired by the DVC R&I and will meet 4 times a year. This group will be charged with ensuring that the Concordat is implemented across the University and also in reviewing the Action Plan to ensure that it meets its targets.

The Needs Analysis and Action Plan used the results from CROS 11 (where at 40.5% response rate was achieved) and PRES (where a 64% response was realised) as a route to getting the views of researchers. The Concordat Implementation group has representation from researchers from all four University Faculties. Moreover, focus groups of researchers who will be working on the University's CROS and PRES Action Plans will also feed into to the Concordat Implementation Committee, as will researcher views obtained during the CROS and PRES Action plan Roadshows, which will respectively take the CROS and PRES Action Plans out to early career and doctoral researchers in the four Faculties. These actions enable early career and doctoral researcher views to be recognised and acted upon within the Concordat Implementation Committee.

The Gap Analysis and Action Plan was constructed by reviewing the Principles of the Concordat, step by step, identifying what was already being done, how existing practices could be improved and, where deficiencies existed, identifying a pathway of measures to rectify them. During this process the group also looked for examples of best practice that existed in one part of the University and how they could be spread throughout the Institution.

All areas of the Concordat are regarded as being important, but those areas where CROS identified deficiencies or where the Concordat Implementation Committee found a "gap" will be given highest priority.

Those shown in the Gap Analysis and Action Plan were responsible for putting it together. The Concordat Implementation Committee will comprise of the same people except that it will be Chaired by the DVC R&I and will include researcher involvement from all 4 Faculties. In terms of governance the Concordat Implementation Committee will report to the University Research and Enterprise Committee which in turn reports to the University Senate and University Council.

Those involved

ADRs for Faculties = Associate Deans for Research

CEAD = Centre for Educational and Academic Development
CMS = Career Management Skills
DVC (R&I) = Prof Steve Williamson
AD PGR = Associate Dean Post Graduate Research Students; Prof Karen Kirkby
E&D = Equality & Diversity
HoDs = Heads of Departments
RDP = Research Development Programme
RES = Research and Enterprise Support
SD = Staff Development
Faculties = Faculties
HR = Human Resources
ALS = Additional Learning Support

Action Plan & Gap Analysis to Support the Implementation of The Concordat to Support the Career Development of Researchers



	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
A. Recruitment & Selection					
Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.					
1.1	<i>All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</i> This is demonstrated by the recruitment (underpinned by our Recruitment Code of Practice) and vision of the University, which is reviewed on an annual basis.	Achieved & Ongoing	HR	Reviewed annually	
1.2	<i>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</i> 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. Job Purposes clearly highlight the skills required for the post and outline the criteria upon which applications and interviews will be assessed. All posts are fully evaluated and graded via a consistent process, ensuring fairness and transparency. Role Profiles at each grade are generic across the whole institution, thereby ensuring consistency.	Achieved & Ongoing	HR	Reviewed annually	
1.3	<i>Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</i> 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.	Achieved & Ongoing	HR	Fixed term contracts reviewed every 3 months	

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
1.4	<p><i>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. Noted more training required in Equality and Diversity</i></p> <p>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.</p> <p>HR professionals are available for guidance to those involved in selection and can also refer individuals to the Recruitment Code of Practice.</p> <p>All applicants requesting feedback are given this either by the recruiting manager or HR.</p> <p>Action: Unsuccessful internal applicants are encouraged to talk to the Careers Advisor – action to be made within 6 months. Responsibility CMS/ HR</p>	Achieved & Ongoing	HR/ CMS	April 2012	Oct 2012 Action CA
1.5	<p><i>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.</i></p> <p>The Hay Evaluation Framework which is based on a nationally agreed 51 point pay spine demonstrates this compliance.</p>	Achieved & Ongoing	HR		
B. Recognition and Value					
Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.					
2.1	<p><i>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.</i></p> <p>Staff on fixed terms contracts are treated no differently to staff on permanent contracts – all terms and conditions are the same.. Those on fixed term contracts are made aware of the</p>	Achieved & Further Action	HR/ CMS		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>reason why they are on such contracts (usually due to funding) and fully understand that extensions to contracts are very common at the University of Surrey. Where contracts have been extended beyond 4 years service, all staff move onto a permanent contract.</p> <p>Action: 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. Responsibility CMS.</p> <p>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.</p> <p>Action: Include as part of the notice process – within 6 months. Responsibility HR/ CMS</p>			<p>Jan 2012</p> <p>April 2012</p>	<p>Oct 2012</p> <p>Oct 2012</p>
2.2	<p><i>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.</i></p> <p>This is standard HR practice and policy, and is therefore fully adopted throughout the University.</p>	Achieved & Ongoing	HR		
2.3	<p><i>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.</i></p> <p>General management development is undertaken by all staff fulfilling such duties. This development is supported by Staff Development and the local HR team.</p>	Ongoing & Further Action	HR/ Faculties/ CMS		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>Action: 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. Responsibility HR</p> <p>Action: Careers Service included in delivery of career development guidance. Responsibility CMS</p> <p>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. Responsibility CMS/ HR</p>			<p>April 2012</p> <p>April 2012</p> <p>April 2012</p>	<p>Oct 2012</p> <p>Oct 2012</p> <p>Completed PGR Oct 2012 CA/ JW</p>
2.4	<p><i>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.</i></p> <p>Faculty bridging funds are sometimes available to support researchers between the end of one contract and the beginning of another. Funding is limited and is allocated at the Faculty's discretion.</p> <p>Action 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. Responsibility DVC (ADRs) R&I/ Faculties</p>	Partially achieved and further action	DVC (R&I)/ RES/HR/ Faculties	Dec 2012	ADRs Suggest look at practice in other institutions with help from SD in Registry
2.5	<p><i>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.</i></p> <p>The pay spine for all staff is freely accessible on the HR website, as too are terms and conditions which outline the guidelines on pay progression. The University works fully within the Framework Agreement.</p>	Achieved & Ongoing	HR		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	Progression through the pay spine is consistent with all other staff.				
2.6	<p><i>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.</i></p> <p>Promotion criteria for research staff is outlined in the role profiles. Staff are encouraged to apply for new/higher roles in the organisation. Career development opportunities for research staff feature within the Researcher Development</p> <p>Programme for research staff (these elements offered by Careers and RDP in collaboration): http://www.surrey.ac.uk/library/researcher/researchstaff/workshops/researchstaff_schedule.htm. e.g. "Career Management Skills for Research Staff"</p> <p>Opportunities for research staff to develop different aspects of teaching are available in the Centre for Educational and Academic Development (CEAD).</p> <p>Action: Ensure research staff are aware of the opportunities available within CEAD. Responsibility CEAD.</p> <p>Action: Careers Office offer interview training for staff – to be made more visible in research staff community. Responsibility CMS.</p>		CMS/ RDP/ HR/ CEAD,	April 2012 April 2012	
C. Support and Career Development					
Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.					
Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.					
3.1	<i>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</i>	Further Action	DVC (R&I)/ CMS		SW to discuss with Deans on

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p><i>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.</i></p> <p>Action: 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. Responsibility CMS.</p> <p>Action: Acquire information about the destinations of researchers by using the leavers form as the basis to collect data. Responsibility DVC R&I For post doctoral researchers report back to UREC, HR For PGRs data from RDC - Registry</p> <p>Action The Careers Adviser conducts an annual follow- up survey of those s/he sees for individual guidance appointments. Responsibility CMS.</p> <p>Action: 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. Responsibility DVC R&I.</p> <p>The University helps to mentor those researchers who wish to apply for Fellowships from Research Councils and learned societies. This involves help with writing their applications and mock interview panels.</p> <p>Action: encourage researchers to apply for Fellowships and give support and guidance. Develop researchers CV so as to optimise their chance of success. Make more use of academics who have been through this route or sit on panels. Share agreed researcher development objectives with Research Support so they can align support and target appropriate opportunities. Responsibility DVC R&I.</p>			<p>Oct 2011</p> <p>Oct 2011</p> <p>Oct 2012</p> <p>Oct 2012</p> <p>April 2012</p>	<p>mentoring post doctoral researchers</p> <p>Completed</p> <p>Oct 2012</p> <p>Completed</p>
3.2	<p><i>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.</i></p>	Further Action	CMS/ DVC (R&I)		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>Action: Ensure that researchers are aware of the different options available and that their skills may allow them to work in different areas. Encourage mobility across the University through multidisciplinary networks based on strategic themes. Responsibility DVC R&I.</p> <p>Action: Encourage exchanges with industry, business, hospitals, charities NGOs etc to give a taste of other environments and other career paths available. Responsibility DVC R&I.</p>			<p>April 2013</p> <p>Oct 2013</p>	
3.3	<p><i>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</i></p> <p>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</p> <p>Action Ensure all researchers use Action Planner and undertake required training and development activities. Responsibility RDP.</p> <p>Action: 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.. Responsibility CMS.</p>	Ongoing and Further Action	RDP/ Faculties/ CMS	<p>Oct 2013</p> <p>April 2011</p>	<p>Complete for PGR</p> <p>Completed</p>
3.4	<p><i>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.</i></p> <p>A range of career management skills workshops are delivered throughout the year by the specialist Careers Adviser for Researchers. These are promoted on the RDP website, via the university intranet and by the Careers Adviser herself. An introductory letter mentioning the workshops is issued by HR and regular emails are sent by the Careers Adviser.</p> <p>Researchers can book at any time to see the Careers Adviser for one-to-one guidance. Such guidance is impartial, professional and confidential. Many Researchers meet with the</p>	Ongoing and Further Action	CMS/ RDP		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>Careers Adviser several times during their time at the university to discuss a wide variety of career management issues. At times this has included the arrangement of informal work experience.</p> <p>Action: 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. Responsibility CMS.</p>			Oct 2012	Input required from careers
3.5	<p><i>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.</i></p> <p>Promotion criteria are clearly stated within the Role Profiles. These are available on the HR website.</p> <p>Action: The recruitment of a new Staff Development Team will bring a stronger advisory service to staff in terms of identifying and meeting development needs. Responsibility HR.</p> <p>Action: Careers Adviser would have valuable contribution to make to activities involving raising awareness amongst Researchers of local and national career development strategies. Responsibility CMS.</p>	Achieved & Further Action	HR/CMS	Jan 2012 Oct 2012	Completed Complete?
3.6	<p><i>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.</i></p> <p>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 Universitys 54.3%)</p> <p>Action: Ensure all contract researchets take part in Induction and the use of ACTION PLANNER 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.</p>	Ongoing & Further Action	ADRs/ HoDs/ RDP/ CMS/ CEAD		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>Consultation/collaboration (HR/SD/Faculties) would be required to fully exploit potential. Responsibility RDP.</p> <p>Action: The CEAD Programme to enhance academic practice including researcher supervision are under development as a Postgraduate Diploma/Masters. Delivery is planned to begin early 2012. Responsibility CEAD.</p> <p>Action: Careers Adviser invited to join staff inductions to give a brief overview of the services provided by the Careers Service. Responsibility CMS.</p>			<p>April 2013</p> <p>Oct 2013</p> <p>Jan 2012</p>	<p>Action VS</p> <p>Update required CEAD</p> <p>Update required Careers</p>
3.7	<p><i>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.</i></p> <p>The criteria for each grade are clearly displayed in the job profiles on the HR website. Appraisals also highlight development needs and opportunities.</p> <p>Action: Currently a number of relevant RDP workshops are offered; "Making Your Research Idea a Successful Funding Opportunity", "A Helping Hand: The Art of Facilitation" but need further development to ensure the VITAE Researcher Development Framework for research staff is comprehensively covered. Needs input from HR/Faculties. Responsibility RDP.</p>		HR /RDP/ :	Jan 2012	Completed
3.8	<p><i>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.</i></p> <p>Mentoring is often provided to researchers by their academic line manager, and through the staff appraisal process. However, this needs to be embedded into the process to ensure it is</p>	Ongoing & Further Action	ADRs/ DVC (R&I) CMS		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>available for all researchers. Researchers need to take ownership of their career development strategy.</p> <p>Action: 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. This should be done in consultation with the Careers Service and training should be given to all supervisors to help them understand this process. Responsibility DVC R&I, ADRs/HR.</p> <p>Action: 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. Responsibility DVC R&I, ADRs.</p> <p>Action: It would be helpful if the Careers Adviser was included as one of the mentors available to Researchers when considering this action point. Responsibility CMS.</p> <p>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. Responsibility CMS.</p>			<p>Oct 2013</p> <p>Jan 2014</p> <p>Oct 2012</p> <p>March 2012</p>	<p>Complete PGRs Input required from Careers</p>
3.9	<p><i>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.</i></p> <p>Opportunities for researchers to take modules from the Graduate Certificate” run by CEAD and University of Surrey accredited modules (15 credits level 3)</p>	Ongoing and Further Action	DVC (R&I)/ RDP/ HR CEAD		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>The Researcher Development team has undertaken a review of all training and development activities for PGR and early career researchers to ensure that it maps on to the Researcher Development Framework. Researchers are also expected to be proactive and engage with CPD activities.</p> <p>Action: Ensure that researchers take ownership of their training and development and that supervisors are aware of the courses that in place for ECR. Responsibility DVC R&I/ RDP/CEAD.</p> <p>Action: 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. Responsibility RDP.</p> <p>Action: Through appraisal moderators ensure that all researchers are undertaking training and development activities and building up a portfolio which maps on to the RDF. Responsibility DVC R&I/ HR/ RDP</p>			<p>April 2012</p> <p>April 2013</p> <p>Oct 2013</p>	<p>Complete</p>
3.10	<p><i>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.</i></p> <p>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.</p> <p>Action: 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. Responsibility HR</p> <p>Action: 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. Responsibility CMS.</p>	Achieved & Future Actions	CMS/HR	<p>Oct 2012</p> <p>Oct 2012</p>	<p>Complete</p> <p>Input required from careers</p>
3.11	<i>Employers will wish to ensure that development activities open to researchers include</i>	Ongoing and Further	DVC		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p><i>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.</i></p> <p>By allowing researchers to build up a portfolio of skills which maps on to the RDF, they will be able to provide evidence of the training and development they have undertaken. The University offers a variety of courses for those who wish to enter an academic career, together with training for demonstrators (centrally – developing principles of good demonstrating/ small group tutorials).</p> <p>Action: Ensure ECRs take ownership of their training and development needs, institute Action Planner and review during appraisals. Responsibility RDP.</p>	Action	(R&I)/RDP	Oct 2013	
3.12	<p><i>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. Researchers are provided with teaching and demonstrating opportunities.</i></p> <p>Action: CEAD 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. Responsibility CEAD.</p> <p>Action: Ensure that the process for the allocation of teaching and demonstrating opportunities is open and transparent and complies with equality and diversity strategy. Responsibility ADRs/ HoD/ E&D</p> <p>Action: Ensure that central training and Departmental specific training is provided to those wishing to undertake teaching and demonstrating activities. Responsibility CEAD/RDP</p>	Achieved and Further action	ADRs/CEAD/HoDs/ADRs/E&D	Oct 2011 Oct 2013 Oct 2012	Input required from CEAD Complete
3.13	<p><i>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.</i></p> <p>CROS (2011) revealed that although researchers at Surrey had slightly more (53.8%) opportunities to participate in the decision making processes than the national (51.1%) and</p>	Achieved and Further Action	ADRs/E&D		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p>94 group (48.9%) this percentage is still rather low.</p> <p>Action: 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. Responsibility ADRs.</p> <p>Action: The way in researchers are elected to decision making committees should be transparent and comply with equality and diversity policy. Responsibility ADRs/ E&D</p>			<p>Oct 2012</p> <p>Oct 2012</p>	<p>To be discussed at Faculty level And ADR meeting</p> <p>Action ADRs/ HR</p>
3.14	<p><i>Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</i></p> <p>Action: Review current mentoring/supervision arrangements. Responsibility ADRs/ Faculties</p>	Ongoing and Further Action	ADRs/ Faculties	Oct 2013	Discuss at ADR meeting
D. Researchers' Responsibilities					
Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.					
5.1	<p><i>Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.</i></p> <p>This is central to the research ethos of the University</p>	Achieved	HoDs		
5.2	<p><i>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.</i></p> <p>There are researcher development workshops in the following areas: "IP Quest", "Turning Your Research into Commercial Gain", "Making Your Research Idea a Successful Funding Opportunity"</p> <p>Action: Look at feedback from current workshops and look at results from Action Planner</p>	Ongoing	RDP	Oct 2013	

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	to determine where gaps in provision exist and design courses to fill them. Responsibility RDP.				
5.3	<p><i>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.</i></p> <p>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)</p> <p>Action: Ethics workshops are under development. Responsibility RDP.</p>	Achieved and Further action	RDP	Oct 2012	Completed
5.4	<p><i>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.</i></p> <p>The University provides information and training to all staff. Central training is available and researchers are also encouraged to seek out training opportunities within their own networks.</p> <p>In CROS 91.6% responded that they had access to training and development opportunities compared to 87.1% nationally and 87.4% 94 Group.</p> <p>Action: Review researcher training and development bi-annually. Responsibility HR/RDP</p>	Ongoing	HR/ RDP/ SD	Review every 2 years	Most recent review complete
5.5	<p><i>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.</i></p> <p>Researcher induction workshops introduced</p> <p>Action: Supplement with Action Planner. Responsibility RDP.</p>	Further Action	RDP/ CMS/ HR/ Faculties		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	Needs collaborative development. Responsibility HR, RDP, Faculties			Oct 2013	
5.6	<p><i>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.</i></p> <p>The annual appraisal is in place to encourage such activity. All new researchers joining the organisation are also subject to a probationary period. 61.2% of researchers at Surrey indicated that they were happy with the appraisal process compared to 46.4% nationally and 39.3% in the 94 Group.</p> <p>Researcher induction workshops introduced Action: Supplement with Action Planner. Responsibility RDP.</p> <p>Action: Integrate Careers Service early in researcher appointment so that every researcher is taking charge of their own career development strategy. Responsibility HR/ CMS.</p>	Ongoing and Further Action	HR/ RDP/ SD/ CMS	Oct 2013 Oct 2013	
<p>E: Diversity and Equality</p> <p>Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.</p>					
6.1	<p><i>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.</i></p> <p>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.</p>	Achieved & Further Action	E&D/ ALS		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	Action: To ensure that specific equality objectives for the area of research are incorporated into the University's equality scheme – within one year. Responsibility HR, E&D.			Oct 2012	Input required E&D
6.2	<p><i>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.</i></p> <p>The University endorses this as a legal requirement and actively monitors diversity in the workplace.</p> <p>Action: To ensure that effective and targeted equality and diversity training is undertaken by all staff involved in the recruitment and management of research staff. Responsibility HR, E&D.</p> <p>Action: To review current methods of advertising vacancies to ensure recruitment from a wide pool of available talent – within one year. Responsibility HR, E&D.</p>	Achieved & Further Action	HR/ E&D	Oct 2012 Oct 2012	Input required E&D Input required E&D
6.3	<p><i>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.</i></p> <p>The University has an Equality Analysis toolkit (Marshall ACM) which can be used to look at the impact of research practices on staff groups.</p> <p>Action: To hold a focus group to openly discuss and draw out issues with a diverse group of staff involved in research– within 6 months. Responsibility E&D.</p>	Ongoing	E&D	Oct 2012	Input required E&D
6.4	<i>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</i>	Action	DVC (R&I) E&D		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p><i>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.</i></p> <p>Action: 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. Responsibility E&D.</p>			Oct 2013	Input required E&D
6.5	<p><i>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</i></p> <p>A flexible working policy has been implemented and promoted across the University. This policy is reviewed on an annual basis.</p> <p>Action: 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. Responsibility HR, E&D.</p>	Achieved & Further Action	HR/E&D	Oct 2013	Input required E&D
6.6	<p><i>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.</i></p> <p>Provision is made by the University to cover cases of maternity/paternity leave. This is also true of statutory redundancy pay.</p> <p>Action: HR Managers to undertake equality analysis to ensure that at a local level additional funding provision is reaching those who need it – within 6 months. Responsibility HR, E&D.</p>	Achieved & Further Action	DVC (R&I) HR/E&D	Oct 2012	Input required E&D
6.7	<p><i>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</i></p>	Ongoing	E&D/HR		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	<p><i>“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.</i></p> <p>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.</p> <p>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.</p> <p>Action: 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. Responsibility HR, E&D.</p>			Oct 2013	Input required E&D
6.8	<p><i>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</i></p> <p>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.</p>	Achieved & Ongoing	ADRs DVC (R&I) HR/ E&D Faculties/		
6.9	<p><i>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.</i></p> <p>Clear guidance and policies are available in these areas either via Equality and Diversity or HR web pages</p>	Achieved & Further Action	HoDs/ HR / E&D		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	Action: To include information about support and guidance regarding discrimination, bullying or harassment on the University webpage 'Research Staff Forum'. Responsibility HR, E&D.			Oct 2012	Input required E&D
6.10	<i>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.</i> Action: To actively work towards achieving the Bronze award of the Athena SWAN Charter. Responsibility HR, E&D.	Action	DVC (R&I)/ HR/ E&D	Oct 2012	Completed
F: Implementation and Review					
Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.					
7.1	<i>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.</i> 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. ACTION: Concordat implementation group endorsed by 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. Responsibility DVC R&I The University 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. ACTION Continue to take part in CROS and PRES. Responsibility DVC R&I	Ongoing	DVC (R&I)/ HR	meet 4 times a year 2013	

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
7.2	<p><i>The signatories agree:</i></p> <p><i>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.</i></p> <p><i>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</i></p> <p><i>c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</i></p> <p><i>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).</i></p> <p><i>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).</i></p>		All		
7.3	<p><i>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.</i></p>		RES		
7.4	<p><i>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.</i></p>		All		
7.5	<p><i>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.</i></p> <p>The Single Equality action plan brings together the Race, Disability and Gender Equality action plans for the University into one single plan. This sets out the action the University commits to undertake to meet the current legislation under the Race, Disability, Gender, Age, Sexual Orientation and Religious and Other Belief duties, which have now been amalgamated into one Single Equality Scheme.</p>	Achieved & Ongoing	HR/ E&D		

	Clause and Evidence for Current Compliance	Achieved or Outstanding	Lead	Timescale	Actions
	It represents a continually evolving culture that permeates all the staff and student members of the University, their business partners and visitors to campus. Both the scheme and the action plan will be reviewed every year to ensure that they take account of the changing environment of the University and, more generally, Higher Education.				

Notes

ADRs for Faculties = Associate Deans for Research

CEAD = Centre for Educational and Academic Development

CMS = Career Management Skills

DVC (R&I) = Prof Steve Williamson

E&D = Equality & Diversity

HoDs = Heads of Departments

RDP = Research Development Programme

RES = Research and Enterprise Support

SD = Staff Development

Faculties = Faculties

HR = Human Resources

ALS = Additional Learning Support