

2011 Key Actions & Implementation Schedule – reviewed 2014 & 2016¹

Relationship with Athena SWAN: 1 = in Athena SWAN implementation plan; 2 = some overlap with Athena SWAN; 3 = no relationship

RAG: **Red** = Outstanding/overdue. **Orange** = on-going/on target. **Green** = Closed/complete

PRE-AMBLE

This document sets out progress made up to 2016 in respect of implementing the 2011 Concordat Action Plan. The ‘actions/recommendations’ in this action plan were the amalgamation of the following:

1. A list of recommendations made in 2011 by an informal Advisory Group to the Pro-Vice Chancellor – Research and Enterprise and Chair of the HR committee.
2. Suggestions made by individual Research staff since 2009 and collectively through Faculty representation, notably the Concordat Champions and Research Staff representatives on the *Career Development of Researchers Working Group* (CDR WG), which was established in 2012
3. A gap analysis conducted by Human Resources (HR) and the Learning and Teaching Enhancement Unit (LATEU) in 2009
4. Actions emerging from the *Career Development of Researchers Working Group* (CDR WG) meetings
5. Suggestions made by Faculty staff, Professionals Services (notably Professional Development, HR, the International Office, and Equality & Diversity), and the University and College Union (UCU)
6. The outcomes of the *Careers in Research Online Survey* (CROS) conducted in 2009, 2011, 2013 and 2015.

The *Career Development of Researchers Working Group* (CDR WG) was established in December 2011, comprised of representatives from key areas (including research staff), and has driven the implementation process and overseen progress. During the years 2011-2015, the action plan was further developed and refined as informed by CDR WG representatives and changes occurring within the University. New issues became apparent, and structures, policies and processes within the University changed as the result of a major restructure; still, many of our original objectives have been met and exceeded, and we are proud to demonstrate that we have made continuous progress during this time.

Summary of Achievements

Two of our most significant achievements since 2011 are:

1. The University introduced a comprehensive and robust HR system for appraisals and promotions, and clarified the career pathways for Education, Research and Enterprise (ERE), as the result of a major strategic project, the Reward Project (see below). This project has placed research staff on an equal footing with other cohorts, and all within a structure where processes can be monitored and reported on, in many cases, such as with the appraisal process, for the first time.
2. The creation of Faculty Concordat Champions, reporting to the CDR WG, has established a thriving community of change-agents. The Concordat Champions have been able to identify and respond to research staff needs and implement the Principles of the Concordat at the local level, thus enabling change that is sustainable. The Concordat Champions facilitate the inclusion of research staff in the implementation process and monitor the impact change has had on researchers.

Taken together, these twin top-down (Reward Project) and bottom-up (Faculty Concordat Champions) initiatives have made many of our other achievements and progress possible.

Other achievements include:

- Online Induction materials and a Research Staff ‘induction’ module have been created – where none existed in 2011
- Online Appraisal process has been created, including mandatory training for all appraisers – only a paper version existed previously and training was not mandatory
- Participation in the appraisal process is reported to and monitored by the University Council
- Online appraisal training is available and workshops for all academic appraisees created - this has enabled more research staff to participate in the process
- CROS data confirms we have made significant improvements to the number of staff: receiving appraisals and finding appraisal useful; participating in mentoring schemes; and participating in Equality and Diversity training – we are ahead of sector norms in these areas (see Action Points below for details)

¹ Original version 2011 for January 2013, revised December 2013 for January 2014. Revised in December 2015 for January 2016 and revised again in August 2016.

- A permanent Researcher Development Coordinator and Careers Specialist have been appointed to support research staff – previously there were temporary staff and no careers support was available
- Careers resources, advice and coaching have been made available to research staff – where none was available in 2011
- Each Faculty has a Concordat Champion and Faculty Research staff groups or meetings - this was a new initiative in 2011
- A core programme of development activity and events for research staff are available at University level and funded centrally – originally this was Roberts funded
- Faculties have founded local programmes of development and events, and have established intranet sites – the Faculty of Medicine and a few individual academic units had programmes, but most did not provide anything for research staff in 2011
- Dean’s awards have been created in recognition of the contribution research staff make to the University, alongside VC’s awards – where only the VC’s award existed in 2011
- We established a: *Women into Leadership and Management* programme to encourage early career women to remain in academia; a *Future Academic Leaders* programme to support research staff with high potential; and a *Management, Leadership and Team-working* course for early career researchers – these programmes were designed to meet researchers’ needs, although generic training was available from HR
- Public Engagement, Enterprise and Public Policy workshops and activities have been established for research staff – where none existed in 2011
- A dedicated website and bi-monthly newsletters for research staff have been created – neither existed in 2011

The overall impact of the initiatives instigated in this plan is that research staff report that: they are much better informed; have improved support for their roles and future careers; are better included in the University; feel more integrated into their departments; and are more likely to experience the main stream HR processes (such as an annual appraisal) than they were in 2011.

Reward Project

In 2011/12, based on staff feedback and a series of consultations, the University embarked on a major strategic project, the *Academic Reward Project* (now referred to as the *Reward Project*), in addition to organisational restructuring. The aim of the project was to enable greater competitiveness, address potential equity issues, raise awareness of diversity and equality matters, and provide flexibility to recruit, reward, develop and retain academic talent in pursuit of the University strategy. Included within the project was a review of: Appraisal, Probation, Promotion, Career Pathways, Equality and Diversity, and Pay for ‘Education, Research and Enterprise’ (ERE) staff. In 2013, five work streams were established to review aspects of the employment offer: Job Titles and Career Pathways levels 4-6; Appraisal Best Practice levels 4-6; Promotions and Probation; Level 7 Pay– the Professoriate; An Enterprise Pathway. For research staff the benefits are that this is a robust HR system, which is embedding change and transforming the whole University, with the result that career development will be taken more seriously.

Challenges faced

One of the main challenges faced with implementing the action plan between 2011 and 2016 was that the University undertook a period of extensive restructuring, which inevitably resulted in changes in policy and of direction across the institution. The impact of these, combined with funding changes, influenced central researcher development activity (e.g. Roberts money had funded 3.5 FTE staff for research staff in 2011, whereas in 2015 there were 1.4 FTE staff) and led to a dramatic increase in Faculty level activity (noted in action points below), in which the Concordat Champions’ role was pivotal. Subsequently, not all of the actions listed were fulfilled as originally envisaged and in some cases, for instance those centred on providing support for Principal Investigators (PIs) and teacher-training provision for researchers, they have been ‘rolled-over’ into the new plan for 2020.

The Reward Project ultimately delivered a larger number of actions of benefit to research staff, and Phase 1 of the project is now complete, with career pathways, HR policies and supporting procedures in place and starting to embed (the project has now moved on to phase 2, for Professional Services). Consequently, our 2020 Action Plan focusses on assessing the impact of these changes on research staff and how they are benefitting from the quality of the research staff experience whilst they are employed at the University. At the time of the internal review of this plan in 2014, the Reward Project was very much in progress and had not yet finalised any new policies or processes, and this affected many of the actions detailed below. Inevitably, given the scale and timing of the project, several action points needed to be extended. The arrival of a new Vice Chancellor in October 2015 and the strategy refresh that is currently taking place (2016), combined with the continued implementation of the Reward Project, herald a period of stability and should also result in extensive benefits being realised among the research staff community.

Please note: Many of the documents and links mentioned below are held on the University intranet or a ‘Sharepoint’ site and you will need to use your University log-in to access them. If you are a member of the public or an outside organisation, copies of key information can be found in PDF format, usually at the bottom of the web-page.

Principle	Action/recommendation	Responsibility of/owned by (who & when)	2012-2014	Status in 2014 (RAG)	Status and overview of progress at 2016 (RAG)	A/S
			Review comments Outcome/ continuing actions to 2016			

Principle 1 – on Recruitment, selection and retention	A review of the Institutional Induction Programme is being carried out: we will create modules appropriate for research staff needs	<u>PDU/HR</u> Carried out by June 2012 via Pam Morgan	Review complete New induction processes Greater ECR participation New module for ECRs created and running. Need Faculty level inductions – Phase 2 December 2015. Online resources by end December 2014	Completed for institution – phase 1. Internal report. New module. Increased ECR participation	Exceeded – the review on Induction was carried out and new resources established. The induction process of the University was reviewed in 2011-12 and a new induction process was introduced at the University level for all staff, which also included an ' Induction Portal ' on the University intranet. In addition, an ' induction workshop and networking event ' was established for new research staff in 2012 and individual invitations are sent to newly recruited staff twice a year. In 2015 a POWTOON was created for new staff yet available to all research staff. Although a review of the Faculty level inductions had been proposed in 2011 (to be conducted PDU/PD-ILlAD/HR) it was subsequently considered unnecessary in the light of the introduction of the two new induction sessions and the portal. Instead, any further changes that might be required were thought most likely to occur at the local level, and responsibility was devolved to Faculties to decide if they needed to improve the process further for research staff. CROS data has confirmed year on year improvement in this area i.e. in 2011, 47% of respondents reported they were offered a University Induction, yet by 2015, 73% reported they had been offered one. In 2015, 74% of respondents reported they were offered a local Induction, a clear improvement on 60% in 2011. The action was closed for the CDR WG.	2
	We will establish a course on 'Managing Staff Induction' (suitable for PIs)	<u>SDO/HR</u> Carried out by December 2010 via PDU	New course established	Postponed Being revisited by PDU by 23 December 2014	Postponed and replaced with new action on PI Training– please refer to our 2020 Action Plan (5.3) In 2011 the idea of PI training in induction processes seemed appropriate, however once the other induction materials had been created the notion of a separate course for PIs seemed excessive. Rather, it was decided by the PDU that advice to PIs on what newly recruited staff need to know and what is available to them would be best included as part of broader PI training, where the more important concepts of developing and supporting research staff could be addressed as well. Although PI training itself was not developed during the four year period (see below for explanation), the Faculty of Natural and Environmental Sciences will be developing this training for PIs in 2017 and will address the issues it would be useful for PIs to know. The action has been moved to the 2020 Action Plan, albeit in a different form.	2
	A review of Probation Procedures will be carried out	<u>HR</u> Carried out by 2009/10 (date revised to 2011/12) via Reward Project, Andy Gravell – work stream lead & HR	New and appropriate appraisal system designed – awaiting approval and implementation Timeframe moved to 2015 because of Academic Reward project. Review dates to be confirmed	Time frame extended to 2015	Exceeded –the review of Probation was carried out and clarification issued, and further refinement is underway As a result of the revised appraisal system and the (Academic) Reward Project, the probation process was clarified on the HR website with this specific reference -"Research staff on fixed term contracts will be offered a probation period proportionate to the duration of the contract." http://www.southampton.ac.uk/hr/services/probation-explained/index.page The review of the probation process was included in the 'Promotions and Probation' work-stream, although priority in the project overall was given to the Appraisal process. The existing probation policies will be reviewed again in the near future to establish a single policy. For further details please see the following documentation on the HR Sharepoint site . <ul style="list-style-type: none"> The current draft policy - for information only. (The intention is to have the new policy in place within the next year). Examples of existing policy documents are also included. The action was closed for the CDR WG.	2
	A pilot of new Probation forms with School of Geography	<u>HR</u> Carried out by Pete Atkinson/ Reward Project	Action: Find out what the outcome was from PA by 1 March 2014. New Academic Reward Project will better describe process from 1 October 2014	Closed	Exceeded – the Probation process was better described and streamlined. The content, format and design of forms was included in the Reward Project, although only the Appraisal form is currently online and the Probation process is still in paper form . The next step is to review the process again (as above). Professor Pete Atkinson, who was Head of Geography at the time this action was drawn up, was heavily involved in the Reward Project process as a member of the project board and as a work-stream lead. The process was better described from October 2014. The action was closed for the CDR WG.	2
	There will be a review of use of Fixed term contracts and comparison with sector benchmarks	<u>HR</u> Carried out by Sarah Hollowbread – and	Paper from HR on contracts – no action. Individual Faculties looking at. No further actions for CDR WG other than monitor and	On-going discussions with JNC Action Closed for CDR WG.	Exceeded – the review of Fixed Term Contracts was carried out and is set to be extended with a pilot in the Faculty of Health Sciences (please refer to 2020 Action Plan). The review of the use of Fixed Term Contracts was carried out by HR and policy was clarified in May 2013, remaining reliant on research staff requesting any change of contract. Faculties have been required to alert staff to their rights and to encourage them to be more proactive, and evidence from research staff indicates that the process of being moved to an open contract is straightforward. This area has been much discussed within the CDR WG and Faculties would prefer an alternative approach. Although the CDR WG continued to encourage Faculties to consider permanency, it was clear that more robust guidance on the	1

		ongoing.	comment on termly basis (i.e. by end of December, March and June 2014 and 2015).		process was required. In 2015, the Faculty of Health Sciences began to produce draft document that they proposed to share with other Faculties in 2016. This has since expanded (in the 2020 Action Plan: 1.2) into a pilot project, whereby the Faculty will develop and test a model on behalf of the University. The action has been revised for the 2020 Action plan (1.2).	
	A review will be carried out of training and support for PIs, with reference to recruitment and selection. (to include maternity leave).	E&D Carried out by 2011/12 for 2013, by Bridget Wilkinson, Pam Morgan & HRMs	New support resources – but limited progress overall. PDU to revisit in July 2014	Timeframe extended until 2014	Time frame extended – the review of PI training and subsequent programme (below) is being carried out by the Faculty of Natural and Environmental Sciences (please refer to 2020 Action Plan 5.3). Training and support resources tailored to the needs of PIs was identified as an area of action, however this was deferred in the light of the Reward Project. Although Appraisal training has been made compulsory for all managing staff including PIs, there is still a need to provide further support. The Faculty of Natural and Environmental Sciences (FNES) will address this matter as they identified some of the key issues in this area as a result of the Dean’s roadshow in 2015. They will produce a pilot programme in 2016-17 and share this format and evaluation with other Faculties via the CDR WG. CROS 2011 data showed that only 69% of respondents had received a written description of what the job entailed and fewer respondents received information about qualifications/skills required; however, by 2015, CROS data indicated 90% had received this information. So there has been considerable improvement in this area, despite the lack of specialist training for PIs (mentioned above). This action was deferred and moved to 2020 action plan (5.3) along with the action immediately below.	1
	A new programme will be developed for PIs.	PDU Carried out by Julie Reeves, Pam Morgan, by 2013-14	Limited progress. PDU to revisit in July 2014.	In development	Time frame extended – a new programme for PIs (below) is being created by the Faculty of Natural and Environmental Sciences (please refer to 2020 Action Plan, 5.3). This action is linked to the one above; the Faculty of Natural and Environmental Sciences has offered to address this issue. They will design a programme and pilot it in 2016-17 and share this format and evaluation with other the other Faculties via the CDR WG. This action was moved to the 2020 action plan (5.3).	2
	Human Resources (HR), perhaps in collaboration with the Faculty Finance Managers, find a way of improving its database to maintain accurate and current data on research staff.	HR Carried out by 2012/2013, by Establishment project group (Sarah Pook, Nick Fletcher, Lisa Smith)	Improved database. Faculty HRM reconciles nos. with Faculty Finance Officer – from Establishment project. Tania Alcantarilla and Bridget Wilkinson pursuing improvements with HR Systems – monitored on a termly basis (i.e. by end of December, March and June 2014 and 2015).	On-going.	Completed – the HR database has been much improved. The Research pathway makes it easier to identify research staff. The Reward Project has resulted in substantial improvement in HR data since 2011, for instance all Faculties now have a list of research staff where in 2011 this was not the case. We can more easily identify cohorts of staff, i.e. research only staff, and distinguish between job levels. We are now able to contact 100% of staff on the research pathway held in the HR database, with approximately 90% certainty (allowing for errors/changes in data to filter through). However, there are still some delays in information passing to the central HR database so that minor discrepancies remain and Faculty Finance, HR Managers and Concordat Champions (see below) liaise over the data. For instance, vetting of HR data and cross-referencing between central departments and Faculties was required for CROS and for the Research Excellence Framework (REF). <i>Quote from Champion: In Humanities, we have a list of ECRs which we use for the ECR mailing list and for meetings with ECRs and ECR Champions. We use a list from HR as the basis for this, but cross check with lists from Heads of Department. This is in part because we take quite a broad understanding of who counts as an ECR, including those who, for reasons such as maternity leave, would benefit from being treated as ECRs even if they do not meet other elements of the definition. It is now our standard procedure for the list to be updated each September and January. This will be an ongoing process as ECRs continuously join us.</i> For further insight into the progress being made locally read the interview with a Concordat Champion . In 2016, a new Chief Information Officer/Champion was appointed in the University and tasked with looking at the IT systems and variations there of; this area will be reviewed as part of that process. The action was closed for the CDR WG – and wider questions concerning data pertaining to research staff have been incorporated into the 2020 Action Plan (1.4).	1
Faculty/ Academic Unit actions & responsibilities	Each Faculty should establish mechanisms for and report regularly on the proper delivery of HR processes, including: ○ an appropriate and thorough induction for all new	Faculties and HR Carried out by	Limited progress as awaiting output from Reward Project work stream. A new appraisal	On-going	Completed – appraisal, induction, probation, terms and conditions, and record keeping processes, have all been improved on. Most of the actions here have been addressed within the Reward Project :	

	<ul style="list-style-type: none"> ○ research staff a clear period of probation and timely review for all new research staff ○ an annual appraisal for all research staff using protocols and pro-forma fit for researchers' purpose, and that the annual appraisal system and data is reviewed by HR ○ training for PIs/line managers in recruitment & selection, talent management, and the responsibilities of PIs in developing research staff ○ recording of induction, probation, appraisal and exit procedures for research staff, and of support for PIs/line managers ○ ensuring that pay and grade, and rights and duties are understood by research staff and their PIs. 	Faculties and HR, by 2015	<p>system will be rolled out in October 2014. It will link to other processes.</p> <p>Faculties to incorporate into their plans as appropriate, from October 2014.</p>		<ul style="list-style-type: none"> • The Reward Project introduced a refreshed appraisal process and career pathways for all academic staff • The introduction and development of the project was communicated by various methods, e.g. regular updates were posted on SUSSED (University intranet site) explaining the aims and value of the project for all ERE staff. • The SUSSED communications included points on: development, diversity and briefings/training for appraisees and appraisers. <p>Probation, promotions (see above) and job descriptions were also addressed by the Reward Project and all revised information is held on the HR intranet.</p> <p>Induction was addressed centrally with a specialised session for research staff and a new Induction portal; PI training has been moved to the 2020 plan – see above.</p> <p>The centralised administrative approach (the result of restructuring) and the benefits of the Reward project made it less necessary for these issues to be addressed wholly at Faculty level, as the original action point had implied.</p> <p>CROS data in 2011 indicated that only 52% of respondents had participated in an appraisal in the past two years, whereas in 2015, 67% reported they had received an appraisal. We had been behind the sector in this area since 2009, yet by 2015 we were not only in-line with the sector but our survey data revealed that our appraisals rated very well and we were ahead of the Russell Group and Sector average in terms of the 'usefulness of the appraisal', i.e. we were ahead by around 8% in all categories and 10% where respondents said it had led to changes in work practices.</p> <p>In view of the success of the Reward Project, Faculty activity generally (detailed below) and improvements centrally in Induction, this action was closed for CDR WG. Individual components appear in Faculty Action Plans and in our 2020 Plan e.g. PI training (5.3) and data monitoring (1.4).</p>	
<p>Principle 2 – Recognised and valued</p>	<p>There will be a review of the Promotion Process for Academic and Research staff</p> <p>A review of 'reward' system (including recruitment and recognition) is underway; initially focused on academic and research staff, but will be extended to all staff.</p>	<p>HR</p> <p>Carried out during 2011 to 2014 by Reward team – moved to Andy Gravell and Promotion and Probation work stream</p>	<p>Good progress.</p> <p>Promotions information sent out to Research Staff – training for women in place.</p> <p>Review completed.</p> <p>Continue with promotions programme. Monitor annually in February/March.</p>	<p>On-going – shifted to Reward project</p> <p>Academic Reward project reports continue 2014/15</p>	<p>Exceeded – the review of Promotion was carried out and a more coherent and transparent system is in place.</p> <p>A key strand in the Reward Project (one of the work-streams) dealt with 'Promotions and Probation' and resulted in clearer information and communication of the promotion rounds to all ERE staff. For details about the work on Promotions, which included research staff, please see the research staff HR Promotions webpage containing the following:</p> <ul style="list-style-type: none"> • Promotion template email which is sent from the Deans to academic staff – it includes promotion to level 5 and a link to the career pathways website; • The Promotion event poster and related SUSSED articles. This was an open event at the start of the process which is mentioned in the template from the Deans. There were 139 attendees this year with a mix of all different levels and pathways. Time is allocated for a question and answer session with the presenters (including the Provost); • Copies of the relevant Level 4 and level 5 career matrix; • Promotion statistics from level 4-5 staff data. Starting in 2015/2016, we requested this information from the Faculties and will continue to do so. The data showed that 46 applications for promotion from level 4 to level 5 were supported, with 18 promotions on the research pathway and 4 applicants moved from the research to the balanced pathway; • Information from the Promotions site (identified in the Dean's letter). This is a point of reference/guidance for all academic staff who wish to understand more about promotions. <p>In addition to the above, research staff are reminded through the CDR WG, at appropriate training events (e.g. Women into Leadership, Future Academic Leaders (see Specialist Leadership programme)) and through relevant newsletters (see Archive), that they can apply for promotion and we send staff information about the promotions rounds when they open.</p> <p>For more senior research staff, i.e. those applying to Associate Professor and Professor posts, we offered interview training for typically 47 people per annum.</p> <p>The review of the Promotions policy and process was completed by the Reward Project and the action was closed; monitoring the research staff data in this area has now become a new action in our 2020 Action Plan (1.4)</p>	1
	<p>'Action learning sets' re-established for female staff seeking promotion</p>	<p>SDO</p> <p>PDU</p> <p>E&D</p>	<p>Done</p> <p>New management programme includes ALS 2013</p> <p>Continue to include ALS/Group</p>	<p>Will be reviewed for 2013-14.</p>	<p>Exceeded – Action Learning Sets were established for women seeking promotion, and have been replaced with the more inclusive and sustainable format of group mentoring.</p> <p>Action learning sets ran in 2011-12 for 50 attendees of whom 38% achieved promotion. These were superseded in 2013 by the Springboard programme, which was more impactful i.e. the success rate of applicants to Level 5 was 60%, and 75% to Level 6. From the 2013 STEM cohort, for example, 38% obtained promotion and 38% left the University for roles elsewhere, whilst from the Arts, Humanities, Social Sciences, Business and Law cohort 50% were promoted and 17% left, by 2016.</p>	1

		Carried out during 2010 - 2011 by Pam Morgan, Kamaljit Kerridge-Poonia and Julie Reeves.	mentoring and Springboard in development programme. Reviewed June/July annually.		<p>Action learning sets required specialist facilitation in the first instance and tended to diminish when left to self-facilitation, so we began to introduce 'group mentoring' instead.</p> <p>Group mentoring took place in Faculties, and it is the Faculty of Medicine that has developed this format the most with group mentoring workshops on work-life balance and maternity leave for example, and with peer mentoring groups, e.g. for grant applications. For a progress report on mentoring see HERE.</p> <p>Group mentoring was also used on the Women into Leadership programme for 24 early career researchers and academic staff in 2014. Group mentoring, rather than ALS, are now an established and ongoing activity in the University.</p> <p>Action closed.</p>	
Faculty/ Academic Unit actions & responsibilities	Deans of Faculty recognise and reward outstanding research staff for their informal contributions to the University.	Dean of Faculty Carried out by Faculties. (Timeframe to be agreed)	<p>Good progress – e.g. some Faculties have established 'Deans awards schemes'</p> <p>Faculties to continue and to expand on formally recognising and rewarding excellence through a range of appropriate means e.g. the Dean's awards schemes. Reviewed December annually.</p>	On-going	<p>Completed – Dean's awards and VC's award schemes open to research staff</p> <p>Dean's awards schemes were considered in 5 Faculties from 2013 (there were no awards in 2011) and were established in 4 Faculties by 2015, see for example FNES, FPSE, Medicine, and FEE. These awards recognise the specific contribution of research staff, notably early career researchers, for a range of contributions. For example the FNES nomination form includes the following categories:</p> <ul style="list-style-type: none"> ❖ Education (e.g. outstanding contribution to curriculum innovation) ❖ Research (e.g. high quality publication) ❖ Enterprise (e.g. establishing a successful industrial collaboration; commercialisation of research) ❖ Public Engagement (e.g. organisation of a high profile outreach event; media activities) ❖ Citizenship (e.g. broad contribution to Faculty activities such as effective running of seminar programmes, workshops, mentorship, committee membership). <p>All Faculties promoted the staff achievement and VC's awards to their staff.</p> <p>CROS data shows continual improved recognition of staff in all areas of their contribution. For instance in 2011 the majority of respondents, just over 70%, felt they were recognised and valued for their contributions with respect to publications, and 45% for their public engagement work and grant applications, yet less than 40% believed they were valued for their knowledge transfer and only 35% for their contributions to teaching. By 2015, being recognised and valued for publications was still the area where respondents felt most valued, with an increase to 83% (in line with the sector average). However, 69% felt they were now valued and recognised for their public engagement and knowledge transfer work, 73% for their grant applications, and teaching had improved to 58% feeling recognised for their contribution. The data showed we were slightly ahead of the Russell Group and sector average in the two categories of Knowledge Transfer and Grant applications in 2015.</p> <p>The VC's award changed in 2016 to reflect the refreshed strategy, with four categories: collegiality, quality, internationalisation and sustainability. These are more accessible to research staff, so although this action was closed in this plan, there is a new metric in the 2020 plan (.2.1)</p> <p>The action was closed for the CDR WG.</p>	3
	Faculties create similar mechanisms for the recognition of outstanding PIs.	As above	<p>Mostly outstanding – needs working on.</p> <p>Part of the 2014-2016 focus on PIs/managers of researchers. Reviewed at CDR WG termly meetings (i.e. by end of December, March and June 2014 and 2015).</p>		<p>Time frame extended – recognition of outstanding PIs will be addressed by the 2020 Action Plan.</p> <p>There was no progress in this area, largely because appraisal training was the main focus from 2014-2016, so this action remained outstanding. The VC's award was changed in 2016 to reflect the refreshed strategy, with the categories of: collegiality, quality, internationalisation and sustainability, which is a more accessible route for recognising outstanding PIs than creating a new scheme. So this action has now been rolled into the 2020 Action Plan and where there is a new metric (2.1)</p>	3
Principle 3 – Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse,	<p>The development of a Roberts funded development programme for ECRs (LATEU) and that is responsive to wider research staff needs, develops their talent and enables them to progress and flourish.</p> <p>The continuation of the development programme for</p>	LATEU/ PDU Carried out by PDU, from Jan 2009 - June 2012,	<p>Roberts programme was established and will continue as part of the PDU.</p> <p>Continued specialist programme for research staff – review annually in</p>	Closed	<p>Exceeded – a programme was established centrally; further to this, the programme was reviewed annually and revised according to evaluation data, research staff feedback and strategic needs.</p> <p>A specialist programme of development for research staff, especially early career researchers, was created and continued to operate, with annual reviews. Since 2011, 332 courses have been offered, serving 2,473 research staff participants and typically we offer around 49 courses per annum for over 500 attendees (excluding special events).</p> <p>In 2015, and as the result of a two year project, a new evaluation system was introduced (to Level 4 Kirkpatrick), providing excellent data and insights that inform our development offer. All staff attending a training course automatically received two</p>	2

mobile, global research environment	research staff.	and then ongoing	April.		surveys at phased intervals after the event – one assesses immediate reaction to an event and the other, the longer term impact. Bespoke impact surveys are sent for certain courses, for example Bid Writing where we allow more time for the outcome of grant applications. See here for details of the Evaluation policy . The programme was established, evaluated, and revised accordingly, and this action was closed for CDR WG	
	Establish a new 'Preparing for Leadership' programme for Level 4/5 staff, including Induction module	SDO Carried out by SDO/PDU/Pam Morgan by Dec 2010	Limited progress On-going - review annually in April.	Work in progress	Exceeded – the Management, Leadership and Team-working course was established for early career researchers (level 4/5), with additional 'management and leadership' courses and resources available The Management School have provided a version of their 'executive education programme' as a two day programme, Management, Leadership and Team-working , for early career researchers since 2011, and there have been a total of 6 sessions for 139 attendees. We now provide 1 session per annum for 24 people and in 2014-15 this programme was extended to include early career academics. The programme is open to all and was a companion course, i.e. with greater capacity, to the <i>Future Academic Leaders' programme</i> (see below). Online resources provided additional sources of help from 2014 (we do not have data on use by research staff) and all staff have access to generic management and leadership training provided by the University. We piloted the ILM Level 5 programme during March 2015, with limited success for ERE staff. The pilot was possible as there was spare capacity on the University of Winchester programme. The opportunity was taken up in order to test the suitability and interest in a taught programme offering award or certificate level accreditation, in anticipation of cross-institutional collaborations to deliver ILM 5 and 7 alternately in each of the Institutions. Feedback from participants indicated some concerns about the amount of time investment in assignments. The project has not been pursued as it was followed by a change of University policy. A new ' leadership and management ' project (see document on website) was initiated by HR with a <i>Project Initiation Document</i> (12 January 2016). The experiences from the <i>Management, Leadership and Team-working</i> course, the <i>ILM pilot</i> , the <i>Future Academic Leaders programme</i> and <i>Women into Leadership programme</i> are available to the new project group. This action was closed for the CDR WG.	2
	Establish 'future academic leadership' programme for research staff	LATEU/PDU Carried out by Julie Reeves by Dec 2010 - 2011	Good progress. Programme format established for 12 ECRs Continue programme. Review at end of programme annually in August.	Done	Completed – the Future Academic Leaders' programme was established for Level 4 research staff This specialist programme began in 2009-10 with research staff in STEMM areas and expanded to include all subject areas in 2010-11, operating in 2011-12 and 2013-14 for selected research staff (22 and 12 participants respectively). The aim of the programme is to enable researchers to feel confident to 'compete with the best in the world.' There have been four versions of the programme since its inception in 2009; the current version was designed around the University's strategic issues as identified by the Senior Management Team in 2013. The programme did not run in 2014-15 due to limited staffing; it is running in 2016-17 with 10 participants. This action was closed for the CDR WG.	2
	Establish 'leadership' programme (suitable for PIs)	PDU Carried out by Pam Morgan and Julie Reeves in 2014/15	Revised date because of transition/restructure and then the Reward Project. In research for delivery in October 2015	Work in progress	Completed – a Senior Leadership Development Programme was introduced in 2012 HR introduced a ' Senior Leadership Development Programme ' in 2012 that PIs participated in. Although it was not designed exclusively for PIs it was highly suitable in that it addressed strategic issues and leadership skills. There were three iterations of the programme: 1) for the senior management team, 2) the Top 100 staff, and t3) the next layer of 60 staff; approximately 90% of the participants were ERE staff. In 2015, a new ' leadership and management ' project was initiated by HR. This action was closed for the CDR WG.	2
	There will be an on-going University review of educator (teacher) training and development provision within the 'Professional Recognition of Educator Practice' Framework. The University will provide educator development appropriate for Early Career Research staff.	PDU Carried out by Hugh Davis	New Action: In response to CROS 2013 Review in 2014 by PDU for delivery in September/October 2014.		Partially completed – there was a review and a portfolio approach to teaching was developed. The University provides a short half day course, Getting Started in Teaching , and since 2010-11 has provided 18 sessions to 194 research staff. This particular action arose as the response to CROS data in 2013 whereby respondents wanted more support for teacher training, as well as opportunities to teach. A review of educator training was carried out during 2014 and in preparation for the QAA audit in 2015. A new version of the PGCAP Module 1 was commissioned for ECRs and was proposed for delivery in Sept/Oct 2015; however the Education team's resources were focused on the audit and needs of lecturing staff, so this will now be delivered from October 2016. All Research Staff have access to the Professional Recognition of Educator Practice' Framework or portfolio route to Higher Education Academy fellowships, as well as access to the Postgraduate Certificate in Educator Practice and typically 4 researchers per annum participate in the programme. The provision of educator training designed to meet the needs of research staff has been moved to the 2020 Action Plan (2.2)	

Faculty/ Academic Unit actions & responsibilities	The Dean of Faculty, Head of Academic Unit or other as appropriate, appoints/designates a Concordat Champion	<u>Dean of Faculty</u> Carried out by 2011	Done Included in the Athena SWAN Gender Equality Network Additional Research staff representatives being sought for CDR WG. Reviewed at CDR WG termly meetings (i.e. by end of December, March and June 2014 and 2015).	Concordat Champions all in place Closed	Completed – the Champion role has proven an excellent mechanism for implementing the Concordat/Charter and Code and encouraging research staff participation at the local level. Each Faculty has its own Concordat Champion , appointed by the Dean. This is a permanent and senior member of staff, who provides continuity for research staff within the Faculty, and the role has proven a vitally important role for a community as transient as the researcher one. The remit of the Champions varies according to the number of research staff in the Faculty and the particular needs of the cohort and subject areas. For example, research staff numbers can range from 5-10 in one Faculty, to over 300 in another. Concordat Champions are responsible for ensuring the Principles of the Concordat are implemented locally and developing local plans for this purpose. <i>Quote from Champion: I see my role as one of coordinating and providing continuity.</i> Read the full Interview with Lindy Holden-Dye, Concordat Champion , and her role within the Faculty of Natural and Environmental Sciences. Faculty Action Plans vary according to the nature of the Faculty internal structure and research staff priorities in the Faculty; the Champions are supported in differing ways i.e. by the Dean's or Associate Dean's executive assistant, or by a dedicated member of staff. The Faculties with large cohorts of research staff have postdoc groups or committees, those with smaller cohorts interact on a personal basis. The CDR WG continued to expand the range of representation in the Group and saw new research staff representatives join every year. A new Chair, appointed in 2015, now reports directly to REAG – the Vice President Research and Enterprise's Advisory Group, thus providing a better connection to the governance structure. Prior to this the PVC/VP took briefs on activity and developments affecting research staff on a regular and largely ad hoc basis. The strengthening of the governance structure is a major improvement since 2011 and we look forward to further strengthening in this area. We asked about the level of knowledge of Faculty Plans for the first time in CROS 2015, and 63% reported that they had heard of them. The action was closed for the CDR WG.	3
	The Dean of Faculty, Head of Academic Unit or other as appropriate, appoints/designates a member of staff whose interest is in the development of research staff - i.e. a group mentor or advisor to work with the AD Research in an informal pastoral role and who can provide 1-2-1 support to research staff and work in partnership with the Concordat Working Group and the PDU.	<u>Dean of Faculty</u> Carried out by Faculties with PDU	Developing mentoring support in some Faculties/ Academic Units Continue to roll out mentoring within Faculties. Reviewed annually in July.	On-going	Exceeded –this action was split between the Concordat Champions and the mentoring schemes, so by 2015 research staff had access to more than one designated role to support them The Concordat Champion provides the support envisaged in this action (although not necessarily pastoral support) to the research staff community within their Faculty. They can also sign-post researchers to more specialist advice and support, including careers, life coaching and counselling services when required. In addition, the Faculty of Medicine and the Faculty of Health Sciences have appointed a dedicated Faculty Research Manager and Academic Research Coordinator respectively, to support the research staff and to provide a point of contact. Mentoring was recognised by 2014 as an excellent method for providing research staff with the additional and personal support they might need, especially with respect to managing their careers. There has been increasing interest and success with mentoring throughout the University. From very little in 2011 for Research staff, other than in the Faculty of Medicine, mentoring has expanded during 2014-15 to three local Faculty schemes, including one academic unit - Biological Sciences, allocating all new research staff a mentor, and a University wide mentoring scheme . Group mentoring sessions have been introduced e.g. on maternity leave in Medicine during summer 2015. For a progress report on Mentoring, see HERE . Mentoring questions were included in CROS 2015, with 25% of respondents reporting they had been mentored, which was significantly ahead of the Russell Group average of 20%. The benefits of mentoring are being extended to Postgraduate Researchers (PGRs): in 2015-16 we piloted a mentoring scheme for PGRs and invited ECRs to act as mentors/ this resulted in 48 mentors supporting 82 PGR mentees. This action was closed for the CDR WG.	1
	Faculties to provide a range of teaching opportunities for research staff to support their career development.	<u>Dean of Faculty</u> Carried out by Faculties	In response to CROS 2013 Reported on at termly CDR WG meetings. Reviewed annually in December.		Partially completed – we continue to look for ways for research staff to obtain teaching experience. This issue has been discussed on many occasions both within the CDR WG (i.e. see Meeting Notes and Action Points for November 2013 and June 2014) and Faculties. We are committed to providing research staff with the opportunity to develop their teaching skills and recognise the significance of this with respect to future career prospects. Where teaching opportunities might be limited, we encourage research staff to think of other ways in which they could practice similar skill sets, for example by getting involved in public engagement activities, or supervising students. These kinds of activity have proven very useful for research staff and PGRs, for example see the work of the SoNG network. This action has been moved to the 2020 Action Plan (5.2) and revised as part of a broader opportunity to build one's CV with similar kinds of activity, as mentioned above.	
Principle 4 –	Appointment of ECR Skills	LATEU (appointed)	These will all be	Closed	Completed – roles dedicated to supporting research staff were created, with two permanent positions established at	3

The importance of researchers' personal and career development is recognised and promoted	Training Co-ordinator to deliver Roberts agenda until 2011	Jan 2009)	absorbed into the PDU	Closed	University level, in addition to two at Faculty level (as above). Three appointments had been made in 2010, on fixed term contracts, and were Roberts funded. Subsequently (and post-Roberts funding), a part-time Careers specialist position was established in the Careers Service in 2014, see below, and a full-time Researcher Development Coordinator was established in PDU/ILlaD in 2012. In addition, the Faculties of Medicine and Health Sciences also have positions in support of researchers (as noted above). This action was closed for the CDR WG.	
	Appointment of Roberts funded ECR Careers Officer to develop career support resources and workshops until 2012	LATEU (appointed June 2010)		Closed		
	Appointment of Roberts funded Researcher Development Officer to design and deliver a 'talent management programme for ECRs until 2012	LATEU (appointed June 2010)				
	All research staff have immediate access to Career Destinations resources and careers advice.	Career Destinations	Done	Complete	Exceeded – research staff were given access to the Careers Service, and a Careers specialist was appointed who began providing bespoke courses and coaching Research staff were given access to the Careers Service in 2014, prior to that there was no careers provision for research staff within the University. With the appointment of a dedicated specialist advisor also in 2014, the provision for research staff has expanded and we aim to improve on this further (see the 2020 Action Plan). For examples of the impact this has had on research staff, please see the Careers Service Progress Report . This action was closed for the CDR WG.	3
		Carried out by October 2011 – actioned by Caroline Konrad				
	There will be a review of University career support for research staff, especially ECRs.	Career Destinations	In response to CROS 2013		Exceeded – two reviews were carried out and revised provision has been made available as a result The (Roberts funded) ECR Careers Officer conducted initial research in 2010 into job descriptions open to research staff, the job market and the skills required to secure employment. This research informed the Your Research Career pages on the <i>Working as a Researcher</i> website. A Lead Career Practitioner Research Staff (and PGRs) was appointed in 2014 and reviewed the careers provision for research staff. He has provided three new courses, career coaching sessions (see below), and most significantly, promoted the service to research staff and within the careers service. Please see his Careers Service Progress Report . This action was closed for the CDR WG – however, a new action is in our 2020 Action Plan (4.2)	
		Carried out under Caroline Konrad	Improved provision for research staff by December 2016. Monitored by CDR WG at termly meetings (i.e. by end of December, March and June 2014 and 2015).			
Develop web based resources i.e. Working as a Researcher , Equality & Diversity	PDU E&D	Done	Complete	Completed – web based resources have been established The websites for Working as a Researcher and Equality & Diversity were established by 2012, and continue to be developed. In addition, research staff have had access to a range of online materials through the Professional Development offer. Although this action was closed, there were no analytics on use – so this is now an action in the 2020 plan (2.1).	1	
	Carried out by PDU and Diversity team	On-going up-dating – quarterly maintenance reviews.				
Offer 1-2-1 Management Coaching	SDO	Was offered, now forms part of other programmes	Closed	Completed – coaching was made available to research staff In 2010-11, we ran an innovative 'group coaching' programme, FutureStep , designed for research staff at Southampton. Three cohorts of research staff (approximately 45 people) went through this programme and developed coaching skills using Nancy Klein's 'thinking environment.' A key aim of the programme was for successive cohorts to provide coaching training to the 'next generation.' However, this approach proved difficult to sustain with such a transient population, although it had been well received. In 2012, as a result of restructuring, the programme ended and was replaced with informal coaching on request (using internal staff) and 'group mentoring' became our preferred approach. Coaching continues to be provided within the University and an individual career coaching referral service specifically for research staff was established in 2014-15; 30 research staff have participated in the service, and received 1-2-1s either through the careers service or from a designated coach. Feedback from researchers indicates this is useful: <i>'The Individual coaching session was particularly helpful as my numerous career questions were addressed and possible ways for career development discussed...'</i> In addition, programmes such as <i>Springboard</i> and the <i>Future Academic Leaders</i> programme offer coaching to participants. This action was closed for the CDR WG – although we expect to continue to provide coaching as per our 2020 Action Plan (4.2).	2	
	LATEU/PDU	PDU to monitor on annual basis in July				
	Carried out by PDU/HR and On-going until 4 year review of plan					
Encourage research staff to participate in current University opportunities for: mentoring;	PDU, Faculties, RIS and USRGs	In response to CROS 2013		Completed – research staff are actively involved in a variety of activities beyond their research CROS data and feedback from research staff indicates that the opportunities and research environment available to researchers		

	internships; public engagement; multidisciplinary activity and enterprise.	Carried out by All	Greater research staff involvement – see CROS 2015. Monitored by CDR WG at termly meetings (i.e. by end of December, March and June 2014 and 2015).		<p>have improved consistently since 2011 i.e. just over 30% had engaged in mentoring in 2011, where 44% reported they had done so in 2015; around 36% participated in public engagement in 2011, and 43% in 2015.</p> <p>Mentoring – we have a University wide scheme and 3 Faculties have local mentoring schemes. Research staff can participate in mentoring as both mentees and mentors. Please see our progress report</p> <p>Public Engagement – within the reporting period we have offered 7 training events to research staff, PGRs, academic staff, with typically 4 postdocs attending the sessions.</p> <p>Two examples where research staff have had an impact as a result of this action include:</p> <ul style="list-style-type: none"> LifeLab's 'Meet the scientist' programme' - for a report on activity see http://www.southampton.ac.uk/per/stories/case_studies/meet_the_scientist.page? Interdisciplinary activity – a group of researchers from the Future Academic Leaders programme, called the SMuRFs, organised a conference and changed University Strategic Research Group (USRG) policy, so that postdocs are eligible to attend USRGs. <p>Enterprise – We created and piloted ICURe as part of the SET Squared partnership and 43% reported in CROS 2015 that they had collaborated in research with business or other non-academic organisations.</p>	
Faculty/ Academic Unit actions & responsibilities	Faculties support the career development of research staff and provide opportunities and advice, where appropriate.	Faculties Carried out by Faculties	Some progress Will in appear in Faculty plans due 28 February 2014	On-going	<p>Completed – we exceeded our expectation, research staff have access to a much wider range of support and opportunities than they did in 2011</p> <p>Faculties (research staff and Concordat Champions) have worked hard in this area, providing an extensive and growing range of activities and support.</p> <ul style="list-style-type: none"> All Concordat Champions have established contact lists of research staff in their Faculties. There were no contact lists, other than in the Faculty of Medicine, in 2011 (see note above). All Champions have established a system of regularly communicating with their research staff – either face-to-face, via direct emails, or through networking events. Three Faculties, Engineering and the Environment (FEE), Natural and Environmental Sciences (FNES), and Medicine (FoM), have all established intranet sites exclusive to research staff. For example, FEE's intranet has information on the Concordat, Training and Development, Research Funding & Fellowships, Mentoring, Group meetings and FAQs. Three Faculties have established research staff representation on committees: Medicine, FNES and Humanities <p>In addition, notable Faculty achievements since 2011 include:</p> <p>Faculty of Business, Law & Art -</p> <p>The Concordat Champion established 1-2-1 meetings with research staff and organised joint events with Humanities and FSHMS.</p> <p>Faculty of Engineering and the Environment (FEE) - have:</p> <ol style="list-style-type: none"> Established a series of meetings on “How to Further Your Career” - organised monthly by a group of ECRs and facilitated by the Concordat Champion. This also acts as a feedback mechanism in the Faculty. A Mentoring scheme just for ECRs – with a list of available mentors available on the SharePoint website. A scheme for New Frontier Fellowships - this supports extremely talented researchers who are expected to become Lecturers. Biennial Dean's Awards for Early Career Excellence. Organised a series of Leadership Research Seminars has been organised. A weekly 'Research Funding Calls' email which is sent to everybody in the Faculty. Coaching for Fellowship applications which has proved extremely successful. Provided bid support in various forms: e.g. mock panels and interviews, peer review. Agreed to allow each ECR to devote 10% of their time to teaching activities. Created Directors of Research who are the first point of contact for all research issues. Put plans in place for Research Integrity Governance to advise and support research staff. <p>Faculty of Health Sciences – have</p> <ol style="list-style-type: none"> Created a Fixed Term Forum, held discussion groups and events; the outcomes from the Forum informed the Faculty Action Plan. Initiated a mechanism for evaluating the contractual status of every member of staff on a fixed term contract Created guidance documentation on <i>Fellowship Applications</i> and a draft document on <i>Professional Development</i>. Established access to conference/travel funds for Fixed Term Staff in line with permanent staff <p>Faculty of Humanities</p> <p>Established a series of Lunchtime Development Sessions; the topics were decided in consultation with ECRs. From 2010-2015 we</p>	2

					<p>established a Faculty Small Award Fund which gave priority to ECRs. In 2015-2016, this was divided amongst academic units to be distributed directly. ECRs were concerned about access to funding for conferences and other career development activities. The Champion fed the concerns to the Associate Dean of Research, who set aside additional funds at a Faculty level specifically for ECRs. The funding was used for a variety of activity including conferences, research trips, advertising, training and indexing.</p> <ul style="list-style-type: none"> - Examples of impact: Elselijn Kingma received a 1.2 million Euro grant from the European Council for Research after attending our ECR development session "EU funding and Southampton International Office Funding for ECRs" provided by Bridget Trezize and Eleonora Gandolfi. This session discussed EU funding available for ECRs and the best strategies for applying. Elselijn also commented on the helpful connections she made during the ECR social: "I formed a very useful connection with another ECR, Dr Aude Campmas. She is a Lecturer in French studies. We discovered that we share an interest in medical humanities and have started to look at ways we can collaborate." - 'Support from the ECRs Fund allowed me to attend the annual conference of the British Association for Slavonic, East European and Eurasian Studies (BASEES). This is the UK's largest gathering of scholars of Russian and East European studies, uniting scholars working in a wide variety of fields. I regularly attend the conference and this year I was on a roundtable discussing teaching the history of Russia and the Soviet Union in the twenty-first century. This provided an excellent networking opportunity, but moreover during this session I gained many valuable ideas and tips regarding how to most effectively teach Russian history from my colleagues on the panel as well as from the very lively and large audience in attendance. It was very interesting to hear about the cutting-edge work being done in the field, and I look forward to applying the valuable information and skills gained in the session to my future teaching at Southampton. The panel swapped ideas and techniques on teaching and look forward to using them in future work'. <p>Faculty of Medicine - http://www.southampton.ac.uk/medicine/research/postdoctoral.page</p> <p>The Postdoc Association holds regular meetings and organises an annual conference and since 2011 they have developed:</p> <ol style="list-style-type: none"> 1. An ECR mentoring scheme that has proven to be highly successful and has now been implemented across the faculty to include all students and staff; 2. Research Clubs in the individual Academic Units within the faculty. The individual clubs have now started to implement small peer-driven focus groups based around themes chosen by the ECRs; 3. A Career Seminar across the Faculty of Medicine; 4. A comprehensive transferable skills programme with more than 20 different sessions during the academic year; 5. A "one stop" Sharepoint site for ECRs within the faculty; 6. An annual refresher and Q&A session for ECRs about the work the Postdoctoral Association is doing and feedback on what can be improved; 7. An annual Christmas Lecture with an inspirational speaker about the lifelong journey of a scientist and general career advice; 8. Dean's Awards for ECRs with four categories: Citizenship, education, enterprise and public engagement; 9. Contribution to the implementation of the Concordat across the University of Southampton by joining the Career Development of Researchers Working Group. <p>For further details see Spotlight on - FoM PDA</p> <p>Faculty of Natural and Environmental Sciences (FNES) - have</p> <ol style="list-style-type: none"> 1. Established a Steering group with representatives from each Academic Unit; 2. Introduced a mentoring scheme across the Faculty and all postdocs in Biological Sciences are allocated a mentor; 3. Established a research staff and teaching fellow led conference; 4. Held a Dean's Roadshow - where the Dean visited each Academic Unit and met with research staff; 5. Held an Appraisal briefing (see sample poster); 6. Held social and feedback events for researchers to network and provide feedback on what can be improved; 7. Dean's Awards for ECRs with four categories: Citizenship, education, enterprise and public engagement. <p>For further details see Interview with Lindy Holden-Dye, Concordat Champion</p> <p>Faculty of Physical Sciences and Engineering -</p> <p>Initiated the Dean's prize and created a process, application form, sponsorship, and celebration event that other Faculties have followed.</p> <p>Faculty of Physical Sciences and Engineering -</p> <p>Research staff in the Faculty designed their own programme of events and input into the Faculty Plan.</p> <p>We will continue to support the career development of researchers. Please see your Faculty Concordat Champion and Faculty Action Plans for further details.</p> <p>This action was closed for the CDR WG.</p>	
Principle 5 -	The concepts of self- and pro-	LATEU/SDO now	Good progress	On-going	Completed - although we will continue our effort in this area (please see our 2020 Action Plan)	2

<p>Researchers share responsibility for and need to be pro-active in their CPD</p>	<p>active self-management will be supported and promoted via Roberts programme and SDO</p>	<p>PDU</p> <hr/> <p>Carried out by PDU and ongoing to 4 year review of plan</p>	<p>Continued effort. Monitored by CDR WG at termly meetings (i.e. by end of December, March and June 2014 and 2015).</p>		<p>It was a central element of our philosophy to support the career development of researchers throughout the University and encourage them to make the most of opportunities, the majority of which are Faculty based, and available advice. Professor Hugh Perry, who chaired the initial Advisory Group, insisted that research staff should 'aim to leave with a better CV than they arrived with' and we have promoted this slogan at every opportunity including training sessions, meetings, handbooks/online resources (see No.4).</p> <p>As noted above, the opportunity for Research-led activities has been created in FEE (with a careers seminar group), FNES (with SoNG and a research staff led conference), and Medicine also have a research staff led conference. Research Staff in the Faculty of Social, Human and Mathematical Sciences designed their own training programme.</p> <p>CROS data in 2015 showed that the majority of research staff continue to feel they take ownership of their career development (85%) and that they are encouraged to engage in personal and career development (76%). Although CROS data 2015 also showed that the proportion agreeing they had a 'clear career plan' was only 47% and had not improved since 2011.</p> <p>This action was closed although it reappears in a revised form as 'CV building' in our 2020 Action Plan (see 5.1 and 5.2)</p>	
	<p>A range of opportunities will be offered and available to ECRs via the Roberts programme, i.e. to develop and lead projects, training initiatives etc.</p> <p>There will be ongoing collaboration between HR, LATEU and SDO and Roberts programme to strengthen the University offer to research staff</p>	<p>LATEU now PDU LATEU & SDO</p> <hr/> <p>Carried out by PDU and ongoing to 4 year review of plan</p>	<p>Reviewed annually - in April</p>	<p>Complete</p>	<p>Exceeded – a core programme was established and collaborative working was established between HR, Professional Development and Researcher Development; collaborative working extended to a number of other University departments.</p> <p>A core programme of development and other opportunities was established and available to research staff, from level 4 to level 6.</p> <p>Collaboration over design and the opportunities on offer has occurred between Researcher Development and several other departments, for example with:</p> <ul style="list-style-type: none"> • Professional Development and HR, notably over leadership and management training, the design of the <i>Future Academic Leaders programme</i>, appraisal training, and promotions and interview training • Equality and Diversity, over the online training module, Springboard for level 5 women and the <i>Women into Leadership and Management</i> programme. The Head of Equality and Diversity and the Researcher Development Coordinator devised a twin-tracked approach to changing culture and developing a pipeline of talent • PERu over public engagement training and events – i.e. 7 training sessions since 2011, with typically 4 postdocs attending and sharing the training with PGRs. • LifeLab over the design of 'meet the scientist sessions' and the involvement of research staff • PublicPolicy@Southampton – over the design of a short training session, An Overview to Policy Engagement: What's in it for me? (which was co-facilitated with researcher development) and other longer workshops • Research and Innovation Services (RIS) over the design of; bid writing and impact and external engagement training, and we shared the costs of External Engagement lunches. We collaborated on an EPSRC funded project on <i>Diversity and Research Staff</i>, and researched <i>Enterprise for Researchers</i> (both produced internal reports). • Researcher Development, Careers Service and RIS have jointly promoted ICURe and the R2I to research staff and encouraged engagement. • International Office – we promoted the briefing sessions on international funding and partnership schemes such as WUN. • Communications and Marketing jointly coordinated media training (2 sessions for 9 attendees in November 2012 and April 2013) and the training was followed with interview opportunities. • Library – from whom researcher development commissioned information management training (see Domain A, RDF on webpage) in: <ul style="list-style-type: none"> ○ Advanced search techniques for systematic reviews ○ EndNote bibliographic software for research staff ○ Finding the needle in the haystack: Quality information when you need it ○ Introduction to systematic reviews in Health and Medicine ○ Measuring the impact of research: bibliometrics ○ Open access workshop ○ Promoting your work: Exploring open access publications <p style="text-align: center;">These courses have run every year, providing a total of 40 sessions to 422 attendees.</p> • The Careers Service – over the design of support for research staff (see below) <p>We reduced sharply the number of respondents to CROS reporting that they had undertaken no training at all from 27% in 2011 to 14% in 2015. Whilst, increasing the number of respondents who undertook 2 days and 3-5 days training from 23% and 24%, respectively, in 2011 to 36% and 33% in 2015.</p>	<p>3</p>

					This action was closed.	
	A simple 'statement of expectations' is drawn up and published around each Principle of the Concordat explaining what the University offers research staff (i.e. what they can expect of the University) and what is expected of research staff in return.	PDU/HR with PVC Research & Faculties Carried out by HR/PDU for June 2012	No progress Hugh Davis to discuss with HR by June 2014. Revisit as part of Athena 'task and finish' group - CDR WG to monitor at termly meetings (i.e. by end of December, March and June 2014 and 2015).	Outstanding	Time frame extended and transferred to the 2020 Action Plan This was an early recommendation that relied on the outcome of the Reward Project to help determine the content of any such statement. The time frame for this action had to be extended, and the Faculty of Health Sciences was (at 2015) drafting a 'guidebook' for ECRs and the template will be made available in 2016. This action has been moved to the 2020 Action Plan (3.3).	2
	Encourage the growth in the number of research staff groups at Faculty level (PDU)	PDU Carried out by Faculties, review Dec 2013	Growing number of local groups across University Continue to grow number of local research staff groups. CDR WG to monitor at termly meetings (i.e. by end of December, March and June 2014 and 2015).	On-going	Completed – we successfully encouraged the growth of research staff groups As the Concordat Champion of FNES indicates in an interview , although postdoc groups frequently emerge, because members move on to other roles they have not been sustainable; having a permanent member of staff to support research staff groups has proven vital for sustainability and continuity. In 2011, only the Faculty of Medicine had a sustainable Postdoc Association, however by 2015, 6 out of 8 Faculties had regular research staff meetings and/or groups that were supported by or led by the Faculty Concordat Champion. Including the Faculty of Medicine, they are: <ul style="list-style-type: none"> • Faculty of Business, Law and Art • Faculty of Engineering and the Environment • Faculty of Health Sciences • Faculty of Humanities • Faculty of Natural and Environmental Sciences The Faculties of Social, Human and Mathematical Sciences and Physical Sciences and Engineering held events organised by the Concordat Champion and Faculty Associate Dean –Research.	3
Faculty/ Academic Unit actions & responsibilities	Schools and Faculties to ensure that research staff are represented on appropriate boards and committees.	Dean of Faculty Carried out by Faculties. Timeframe to be agreed	Some progress Should appear in Faculty plans where appropriate, due 28 February 2014.		Initiated – yet to be fully completed Four Faculties have established research staff representatives in their committee structure and have postdoc/ECR committees or steering groups i.e. the Faculties of Medicine, Natural and Environmental Sciences, Humanities, and Health Sciences. Quote from Fiona Woollard, the Faculty of Humanities, Concordat Champion: <i>I have secured agreement with the Dean and identified a list of committees suitable for ECR representations. We have also established an ECR Committee. ECR representatives will take their places in September 2016.</i> All research staff are represented through their Concordat Champion in their Faculty structure and by the UCU ECR representative . Research staff also attend the CDRWG, typically, at least 6 representatives a year. In addition, Research Staff on the Future Academic Leaders' project obtained an agreement from the Director of Multi-disciplinary Research that research staff should be represented in the USRGs . CROS data indicates a static response rate between 2011 and 2015 with respect to integration, i.e. 78-77% of respondents feeling integrated into their department's research community. A wider and pro-active approach will be taken in 2020 plan (see2.2), where we will identify University committees and seek to increase research staff representation.	1
Principle 6 – On diversity and equality	There will be a strategic equality plan for all staff and students, to establish actions for 2010-2013	VC & HR Carried out by Diversity team 2009- 2011 Signed off by	Done Aim to review biennially. Date to be confirmed.	Reviewed 2013-14	Completed – the plan was established and progress reported annually to Council The Athena SWAN process has been a tremendous driver of change in the University and this Action Plan was aligned with the Athena SWAN actions in 2014, as many of the actions overlapped. The Equality Plan notably contained: <ul style="list-style-type: none"> • A consultation on the protected characteristics, including improving female equality in STEM (that led to the Women into Leadership and Management programme) 	1

		Council and the VC in March 2011			<ul style="list-style-type: none"> Mechanisms for implementation, that ensured the Research Excellence Framework (REF 2014) exercise was equitable. <p>The action was closed for the CDR WG.</p>	
We will pay close attention to issues relating to age, gender, role and international staff.	Diversity team, HR & PDU	<p>Good progress – especially for Athena SWAN.</p> <hr/> <p>On-going.</p> <p>HR to continue to improve data tracking.</p> <p>HR data report on all aspects of role, gender, race and age reviewed annually and reported to Council in July.</p> <p>International staff monitored annually according individual visa renewal.</p>	On-going	<p>Completed – data was compiled as a result of Athena SWAN and reported annually to Council.</p> <p>Our annual reports are here: http://www.southampton.ac.uk/diversity/how_we_support_diversity/our_objectives.page?</p> <p>We have established Networks and Societies to support our diverse staff including: Parent and carers, WiSET, Theano., and LGBT.</p> <p>We have conducted an Equality Impact Assessment for the REF 2014.</p> <p>We have seen a consistently high positive response rate in CROS data (2011-2015) and in line with the sector i.e. the majority of responses to the fair treatment categories indicate 90-99%, whilst age, gender and pregnancy have consistently been between 80 and 90%.</p> <p>This action was closed for the CDR WG.</p>	1	
Cultural awareness/diversity training will be introduced	Diversity team, LLAS & PDU	<p>Workshops and International staff café introduced in 2013</p> <hr/> <p>Continue work in this area. PDU to review annually in April.</p>	Complete	<p>Completed – we offered courses and workshops and held international Staff cafés for international staff to meet, receive advice and network.</p> <p>We provided a workshop on <i>Communicating Across Cultures</i> in 2011 and an Unconscious Bias workshop in 2013, at the request of research staff. Only one session was offered of each course as take up was not as good as anticipated i.e. 7 attendees for Unconscious bias.</p> <p>Since 2012, we held 10 International Staff Cafes for 133 attendees (but this number is the minimum, as not everyone booked through Staffbook, our online booking system – and average attendance was around 25 people per session). The international staff cafes were an informal drop-in event, initially on a monthly then quarterly basis. Occasional guest speakers included the PVC Research, the Assistant Director International Office, the International Women’s club, and a successful academic who talked about his career and how to get research funding. At least once a year, HR would hold a surgery to provide advice. This event was not evaluated as it was a social and networking opportunity.</p> <p>A University wide project Intercultural connections was funded from 2014-15, and provides additional events, advice, workshops and blog for all staff and students.</p> <p>This action was closed for the CDR WG.</p>	1	
International staff website established http://www.internationalstaff.ac.uk/?uni=26	LATEU & HR	<p>Done</p> <p>Website being maintained by HR. PDU to monitor annually in April</p>	Complete	<p>Completed</p> <p>We subscribed to the website until 2013, when it was replaced with information on the HR intranet and an HR website. The HR Recruitment Advisors provide advice to new international staff</p> <p>This action was closed for the CDR WG</p>	3	
STEM subjects will develop a gender equality action plan and apply for the Athena SWAN award (silver). We will work with other academic units to extend Athena SWAN awards.	Diversity Champion	<p>6 Submissions made and more on the way</p> <hr/> <p>On-going.</p> <p>Submissions due in: April 2014, November 2014, April 2015, November 2015.</p>	On-going	<p>Exceeded – we have achieved a total of 9 awards and all Faculties have an E&D committee and have developed/are developing action plans.</p> <p>Silver awards have been made to the Faculty of Medicine and Chemistry Academic Unit in 2015</p> <p>Seven departments achieved Bronze awards. The University maintained bronze and will apply for a silver award in 2016.</p> <p>This action was closed for the CDR WG.</p>	1	

		April 2012				
	We will use 'Every Researcher Counts' (Vitae) resources	Diversity team with PDU Carried out by Diversity team, by Dec 2013	See E&D online resources instead Reviewed annually - date to be confirmed.	Outstanding	Exceeded - we converted to an online Equality and Diversity module, which was more accessible to research staff. We considered using the 'Every Researcher Counts' resources and devised ways of doing so, however this proved too labour intensive and in 2011 we purchased the online 'Equality and Diversity in Practice' training package with 2 modules. The advantage of this was that it was accessible to all staff and could be accessed at a time convenient to research staff and we could analyse the data. It became compulsory for all staff to complete the modules in November 2015 and approximately 41% of all research staff and 59% of PIs have completed the 'Essentials' online training module - far more than could have been achieved with face-to-face training. CROS data confirms a significant increase in research staff who have received training in Equality and Diversity from to 41% in 2015 (reassuringly, this is in line with our own data and ahead of Russell group and sector norms of 34% and 37%). This action was closed for the CDR WG.	2
Faculty/ Academic Unit actions & responsibilities	Will implement Athena SWAN plans for their Faculties	Dean of Faculty Carried out by Faculties with Diversity team	See Faculty Athena SWAN action plans. Under on-going review (regular intervals determined by Faculties i.e. bi-monthly or quarterly).N action plans	On-going	Completed - All STEM Faculties have Athena SWAN teams who have developed/are developing plans Athena SWAN progress is noted by the number of awards and reported on annually . In 2016, we began to extend the E&D governance all Faculties. All Faculties now have an E&D committee and are developing plans, if they have not already done so.	1
Principle 7 - Stakeholders will undertake regular reviews of the progress in strengthening the attractiveness and sustainability of research careers in the UK	We will encourage research staff to participate in CROS and internal staff surveys when appropriate, and aim to increase the percentage of research staff respondents with each survey (e.g. CROS 2009 = 27%, CROS 2011 = 34%, 2013 = 31%)	LATEU & HR now PDU Carried out by PDU and ongoing until 4 year review	General improvement recorded in CROS 2013 Participate in CROS May 2015. Data analysis in July 2015, and reported in September 2015	On-going	Completed - we have participated in CROS biennially since 2009 and the data has been extremely useful for monitoring progress in the key areas of our action plan. CROS 2015 confirmed continued progress in all areas since 2011, in spite of our level of participation decreasing to 28% in 2015, from a previous 34% (we attribute this decrease to a change in the way the survey was accessed in 2015). All of the trends have been positive - some areas have improved rapidly, most noticeably in those reporting they have participated in an appraisal, been invited to an Induction, feel included in their departments, and have knowledge of the REF and RDF.	2
	A Concordat Working Group will be established to communicate, embed, monitor and review progress.	PVC Research & Enterprise Carried out by PDU and Professor Rachel Mills, Oct 2011	Established CDR WG to continue to meet termly (i.e. by end of December, March and June 2014 and 2015).	Closed	Completed - the CDR WG has met three times a year to discuss Faculty developments, research staff concerns and progress of implementation of the plan. In 2011, the University reduced the number of committees as part of a major organisational restructure and so the CDR WG provided a vital role in maintaining focus on all issues related to research staff. The CDR WG is a large and lively group, it holds outstanding discussions, raises difficult issues and is an excellent forum for sharing best practice across the University - as the Concordat Champion for FBLA commented: 'the Faculties are learning from each other' as a result of the sharing of ideas that occurs in the meetings. As new strategic goals and KPIs emerged with the 'strategy refresh' of 2015-16, so the CDR WG will enter a new phase and a steering group will be needed for the implementation of the 2020 Action Plan. The latest and Archived versions of the Meeting Notes and Action Points are located on the <i>Working as a Researcher</i> website. No further action required.	2
	Annual reporting on Roberts funding and impact of activities	LATEU and Graduate Schools Carried out by PDU, from Nov. 2010	Annual reports produced. On-going. Reviewed annually by PDU September/October	Part of PDU annual report and RCUK Assurance	Exceeded - annual reports were produced under Roberts funding requirements and have continued post-Roberts Researcher Development has continued to provide performance data, as part of the annual performance process , on the number of courses, the attendance rates, and the reaction scores. Impact data is internal to the University and subject to ethical agreement. Feedback from research staff is always invited either via the newsletter or through direct email communication and also through the CDR WG representatives. This action was closed for the CDR WG.	3
	Revision underway of the document <i>Guidance for Schools on supporting the careers of researchers (Postdocs)</i> .	HR, SDO, LATEU and UCU - now PDU	Limited progress Outstanding - has been replaced with	Need to revisit. Should be part of the work	Closed because overtaken by restructuring, the Reward Project and policy changes The original <i>Guidance for Schools on supporting the careers of researchers (Postdocs)</i> reflected an older University structure and was very much out of date by 2011 and in need of revision. Progress on up-dating the document and then rewriting it completely was deferred on several occasions because of the Reward Project i.e. we were waiting for processes and policies to be confirmed	2

		Carried out by various contributors by June 2012	Academic Reward project. No further action required.	streams?	<p>so that we could explain them to research staff in a new document. Subsequently, much of the information has been placed on the HR intranet and links have been provided to examples of the information held, throughout this document. By the middle of academic year 2014-15 it was clear to the CDR WG that research staff and their PIs would still need information tailored to them. The Faculty of Health Sciences began work on a new guidebook focused on professional and career development and agreed to provide a template for other Faculties to use, and the <i>Working as a Researcher</i> website began to emerge as a potential 'one-stop-shop' for all information relating to research staff. These two sources of information remain works in progress.</p> <p>Although this action did not materialise as envisaged, it is closed in its original form as it is unnecessary and has been replaced by new actions in the 2020 Action Plan (see 3.3)</p>	
	We will include data on employability issues affecting research staff i.e. retention, redeployment, promotion, Career Destinations use, as part of the HR scorecard.	HR, Faculties and other Professional services Carried out by HR/CDR WG and ongoing until 4 year review	Limited progress HR working on this. Review progress quarterly (i.e. end of March, June, September and December).	We need to define data and then track it. Revise	Time frame extended and moved to 2020 Action Plan The Reward Project has made it much easier to gather data on research staff in ways that we could only dream of in 2011. Preliminary data has been gathered on retention, promotion, and from the Careers Service (whose new database will also make it easier to identify research staff activity). The scorecard approach (popular in 2011) will be replaced in our 2020 plan with an annual performance report to the PVC/VP Research and Enterprise. Please refer to 7.3 in our 2020 Action Plan	1
Faculty/ Academic Unit actions & responsibilities	Faculties will draw up their own implementation/action plans and review processes of their plans.	Dean of Faculty Led by Faculty Concordat Champion	Good progress. Faculties producing plans for 28 th Feb.2014 with review mechanisms	On-going	Completed – all Action Plans are available on the website. The Faculty plans vary in their content and review processes. This reflects the devolved nature of the University, yet they have all been drawn up according to the number of research staff, the internal structure of the Faculty and distribution of Academic Units, as well as reflecting the local 'culture' and context. For example, the Faculty of Business and Law, comprising three academic units, has the fewest number of postdocs, usually less than 10, and did not have a support structure until the Concordat Champion was appointed; whereas the Faculty of Medicine, which has the largest number of researchers, i.e. over 350, and is comprised of 5 academic units, was unique among the Faculties in that they had a well-established postdoc committee in 2011 with an agenda. We will continue to embed the Faculty plans in our 2020 Action Plan and will consider moving towards a generic template. This action was closed.	2