

Action Plan 2020

Title:	2016-2020 Action Plan - continued implementation of the Concordat to Support the Career Development of Researchers		
From:	CDR WG	Date:	28 January & 25 August 2016
	Replaced by CAG /Equality Charters Programme Board		Reviewed & Updated: January 2017 & 2018, & May 2018, November 2019, January, April. May & July 2020.

The University's 'Simply Better' strategy and new 10 Year Plan (published in 2017) confirms our commitment to achieving the highest quality in everything we do. This strategy is built on four principles: quality, sustainability collegiality, and internationalisation. Integral to our strategy is our aspiration to provide an excellent staff experience and recruit, develop and retain our diverse, high quality staff. There is direct alignment between the University Strategy and the seven principles of the Concordat.

Our research staff are essential to our core mission: To change the world for the better. Early career researchers are our largest single cohort of staff, and research staff are not only integral to our success but also contribute significantly to the wider society. We seek to empower our research staff to be fully engaged in the University and better connected within it; to benefit from being part of our institution and to be recognised and rewarded for the valuable contributions they make. Our aim is to enable research staff to take control of their professional life, to be aware of the range of opportunities available to them both internally and externally, and to encourage researchers to build their CVs and develop sustainable careers.

Between 2011-2015, the University undertook a substantial programme of work to enhance the careers of all our Education, Research and Enterprise (ERE) staff, and to address potential diversity and equality issues. The 'Reward Project' developed key employment frameworks and HR policies, including revised career pathways for ERE staff, pay structures, promotions and appraisal. The impact of this project has appeared since 2016. The project outcomes have provided:

- A choice of clear and transparent career pathways enabling staff to maximise their full potential.
- An effective appraisal framework that supports a meaningful, two-way discussion about progress, contribution and career development
- A framework to invest in and develop world class staff that contribute to the University's strategic priorities
- A positive impact on staff morale, collegiality, retention, engagement and performance

In 2017, the University embarked on a 10 Year Plan: During phase 1, investments of £300million will transform our physical and digital infrastructure; whilst phase 2 will ensure we have 'the right shape and size', beginning with a restructure from 8 to 5 Faculties in August 2018.

For research staff, these organisational wide changes have been and will continue to be complemented by the work of Faculty based Concordat Champions, research staff representatives and Faculty plans that reflect the variable needs of this cohort of staff at the local level.

This 2020 Action Plan includes monitoring and assessment of the efficacy of the changes brought about via the Reward Project, as well as building on our previous achievements in each of the seven principle areas. Specifically, we aim to focus on improving guidance to and support of research staff, to ensure our policy and practice is transparent to researchers. We will collect evidence and data that will enable us to improve our strategic plans and target any weak areas and issues affecting research staff in a timely manner. We will continue to nurture and support our researchers and to emphasise Faculty driven initiatives. Up to 2020, we will ensure the full embedding of our research career pathway, monitor key aspects of the quality of experience of staff and undertake certain projects that will help us address specific needs and develop opportunities that enable researchers to play a central role within the University and beyond.

May 2018 additional information:

It should be noted that professional development was reorganised in 2017, and two new units established, i) HR Leadership and Management Development team and the ii) Centre for Higher Education Practice (CHEP), replacing the Institute for Learning Innovation and Development (ILLiAD). CHEP is responsible for development of education, research and enterprise career pathway staff. In addition, the 10-year plan has a People plan component, which will incorporate research staff development.

May 2020 additional information:

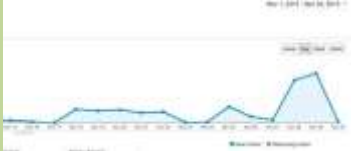
Following a reorganisation of professional development in 2017, the Faculties were restructured in August 2018 from 8 to 5. The combined effect of these changes was to enhance our collegiate approach further by adopting a distributed model led by the Faculties, CHEP and HR, and through the contributions of a wider range of Professional Service providers in supporting our research staff, most notably RIS and the Library. 2020 finds us in a transition period both with respect to moving from the 2008 version of the Concordat that informed this Action plan, to the revised version of the Concordat (published in September 2019) and also with regard to reviewing our governance structure and processes supporting institutional awards. In October 2019, the University Executive Board approved the creation of an Equality Charters Programme Board, supported by an Equality Charters Coordination team, to oversee and synthesise all institutional awards including the HR EIR. In becoming a signatory to the new Concordat in 2021, we consider the gap analysis that will follow as an excellent and timely opportunity for us to take stock of our achievements and lessons learned to date. Therefore, our plan is to draw a line under this action plan and to draft a new action plan in accordance with the 2019 Concordat; however, the impact of Covid-19 means that we will need to implement a bridging plan that will enable us transition between the 2008 and 2019 Concordats. We aim, also, to synthesise our Concordat implementation work with the other equality charters and awards the university holds to ensure everything is aligned at the institutional level with the People and ED&I strategies.

NB: Whilst much of the data for this review had been collected prior to the impact of Covid19, some more recent data has, inevitably, been limited by remote access to systems and details.

ACRONYMS:

ADR – Associate Dean for Research	BAU – Business as usual	
CHEP – Centre for Higher Education Practice	ECPB – Equality Charters Programme Board	ED&I – Equality, Diversity and Inclusion
FAH – Faculty of Arts and Humanities.	FELS – Faculty of Environmental and Life Sciences.	FEPS – Faculty of Engineering and Physical Sciences.
FoM – Faculty of Medicine.	FSS – Faculty of Social Sciences	
HoS – Head of School / HoD – Head of Department		HR – Human Resources
RIS – Research and Innovation Services. RIS also includes: PERU – Public Engagement with Research Unit, and PP Southampton – Public Policy at Southampton		
UEB – University Executive Board	VP R&E – Vice President Research and Enterprise	

<p>Review dates: The whole plan and actions were reviewed annually. General progress was reviewed and reported three times a year at CDR WG/CAG meetings on: Oct/Nov. 2016, 2017, 2018, 2019 Jan/Feb/March. 2016, 2017, 2018, 2019, 2020 May/June/July. 2016, 2017, 2018, 2019, and 2020 (because of Covid19)</p>				<p>Status MAY 2018</p>	<p>Status MAY 2020</p>
Principle	Action	Success indicators	Carried out by	<p>Key: Green = complete. Amber = on track. Red = outstanding. BAU = business as usual</p>	<p>Key: Green = completed. Amber = to be carried forward. Red = outstanding but closed. BAU = business as usual</p>
<p>Principle 1 – Recruitment, selection and retention</p>	<p>1.1 Where appropriate, we will review the advice and guidance we provide to research staff and present this information in an accessible format, mindful of the needs of new employees and aligned with the 10 year plan.</p> <p>Jointly owned by: CHEP and Faculties</p> <p>Deliverables:</p>	<p>By December 2018, the Working as a Researcher (WAAR) website will contain or signpost researchers to relevant information on what the University of Southampton provides them. Areas of particular interest to researchers and their PIs, include:</p> <ul style="list-style-type: none"> • Fixed term contracts and the management thereof (see • Continuing professional development offer, comprising training interventions, careers support, CV building opportunities, and access to international schemes 	<p>CHEP, HR & Finance</p>	<p>On track</p> <p>i) Our aim to provide comprehensive information and guidance through a ‘one stop shop’ for all research staff is underway. The WAAR website is currently being redesigned. Research Staff have been asked for their views on how it should be changed. These will be incorporated into the new design. Website analytics will be produced for the website in June 2018. This is later than anticipated due to the ILLaD-CHEP restructuring.</p> <p>ii) HR has reviewed the onboarding information for new staff and has aligned it with the Concordat Principles. A draft HR Employee Welcome pack is with the designers.</p> <p>iii) RESAVER has been discussed by Pensions and Finance and there are no plans for the University to take this scheme up currently</p>	<p>Action completed</p> <p>1.1.i - We recruited a graphic designer and web designer in 2019, who restructured and refreshed the Working as a Researcher (WAAR) website. The WAAR site is available to 100% of staff. The site has better links and signposting to relevant information for research staff. Working with the Research and Innovation Services (RIS), Public Engagement (PERU) and Public Policy (PP S) units, and the Library to ensure all information is aligned in a relevant way for researchers. For instance, RIS information is on an internal SharePoint site, but that site now distinguishes information relevant for ECRs and for PGRs, as a result of collaborative discussions.</p> <p>The Centre for Higher Education Practice (CHEP) began collecting WAAR website data from July 2018 – see below:</p> <p>July 18 – Dec 18 – 1,905 users, 90.7% new. Top 5 most visited pages were: 1) waar/index.page – 497 page views; 2) waar/funding/grants-awards-and-prizes.page –</p>

	<p>i) The Working as a researcher (WAAR) website updated to serve as a central point of information.</p> <p>ii) Onboarding information reviewed and redesigned.</p> <p>iii) A policy response to RESAVER agreed.</p>	<ul style="list-style-type: none"> • Carers and parental leave guidance • Data relating to the research staff experience (from HR and CROS) • Research staff activities and involvement in Faculty and University life • Career pathways and trajectories, and future employment information <p>Webpage content will be fully established and accessible to 100% of research staff¹ by December 2018. WAAR will be promoted to PIs and the webpages signposted in relevant 'onboarding' materials.</p> <p>From September 2017, we will begin to compile website analytics that demonstrate the extent to which reference material is being accessed.</p>		<p>(as of May 2018). The CDR WG will monitor the situation.</p>	<p>311 views; 3) waar/concordat/index.page – 308 views; 4) waar/HR/career-pathways.page – 290 views; 5) waar/your-career/index.page - 256 page views.</p> <p>Data in Jan 19 – Dec 19 showed 2,922 users 89.9% new. Top 5 most visited pages were: 1) waar/index.page – 670 page views; 2) waar/concordat/index.page – 487 views; 3) waar/funding/grants-awards-and-prizes.page – 479 views; 4) waar/HR/career-pathways.page – 446 views; 5) waar/your-career/career-support.page – 220 page views.</p>  <p>Fluctuations in views above were due to varying promotional messages. CHEP will continue to monitor hit rates as BAU.</p> <p>This action is now closed.</p> <p>1.1.ii - HR onboarding information was refreshed and still aligns with Concordat. Our recruitment website also promotes our equality Charter awards and commitments to prospective applicants.</p> <p>1.1.iii - Statement: There are no plans for the University to take the RESAVER scheme up currently (as of April 2020).</p>
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¹ This is all staff classed as 'Academic Research' in the HR database.

		University response to RESAVER will be published by August 2020.			European developments will be monitored generally as part of BAU. This action is closed. CROS 2019 response rate was 25% - this was lower than previous years and we suspect this is the result of the restructure in August 2018.
	1.2 In line with the Fixed-Term Employees (prevention of Less Favourable Treatment) Regulations 2002, we will investigate the feasibility of converting fixed term contracts into permanent ones for research staff who have achieved four years continuous service (where the continued use of fixed-term contracts cannot be objectively justified), with the wider aim of managing the use of fixed term contracts better by 2020.	Subject to the outcome of the pilot and UEB approval by September 2018: we aim to improve the management of FTCs for research staff who have continuous service of four or more years as at 1 st September (where the continued use of fixed-term contracts cannot be objectively justified), by August 2020 – KPI to be agreed by December 2018 in line with 10 year plan. From December 2018, we will explore ways of monitoring the numbers of staff who take up this option and the data will be included in an annual report (see Action 1.4 below).	Faculties, HR	On track. i) Our aim, by 2020, is to manage research staff on fixed term contracts more proactively through the combined efforts of Faculty administration, raising awareness of research staff, and Pls/line managers, and improvements to our systems under the 10 year plan. The University Executive Board (UEB) agreed in August 2016 to a pilot project in the Faculty of Health Sciences to explore and develop a fixed term contract management process and where, other than administration costs, implementation of new permanency arrangements would be 'cost neutral' to the University. The pilot was successfully initiated in 2017, and the work is ongoing. The impact was evaluated in 2018.. ii) A paper presenting the findings and recommendations from the above pilot will be presented to UEB by Sept.2018, after the revised Concordat report has been published. The paper will include supporting procedures and forecasted costings with respect to any administrative and system changes required.	To be carried forward 1.2.i – 1.2.iii: We completed the pilot on managing FTCs and acquired significant insights into managing these staff more actively. However, as a result of University restructuring in 2018 and changes to staffing, the activity around the management of FTCs was put on hold. This area will be considered fully when the University becomes a signatory to the new version of the Researcher Development Concordat (2019) and conducts the gap analysis against the new version. Deliverable 1.2.iii will be carried forward and we will continue to monitor the situation. 1.2.iv – Snapshot HR data taken on 1st September, 1st December, 1st March and 1st June, shows that on average our research only staff profile in 2017/18 was: 738 Level 4/ECRs, 178 Level 5 and 43 Level 6 research only staff. Of whom, an average of 92% (676n) of ECRs, 49% (88n) Level 5 staff and 32% (14n) Level 6 staff were on FTCs. Our research only staff profile in 2018/19 was very similar: 720 Level 4/ECRs, 177 Level 5 and 45 Level 6 research only staff. Of whom, an average of 93% (671n) of ECRs, 54% (96n) Level 5 staff and 32% (15n) Level 6 staff were on FTCs.

	<p>Owned by: Faculties & HR</p> <p>Deliverables:</p> <p>i) Pilot project in Health Sciences on management of FTCs.</p> <p>ii) Findings from pilot and business case to UEB in September 2018.</p> <p>iii) Subject to UEB approval, a more pro-active FTC management approach will be promoted across the University.</p> <p>iv) Data captured on the numbers of staff who convert from FTC to open contracts.</p>			<p>iii) Subject to UEB approval, the pro-active approach will be promoted across the University and incorporated in University's 10 year plan.</p> <p>iv) In 2016-17, snapshot data showed that the University had 725 ECRs, 169 Level 5 research only staff and 40 Level 6 research only staff. Of whom, an average of 89% of ECRs and 48% of Level 5 staff were on FTCs. In 2016-17, 14 level 4 and 9 Level 5 staff were moved to open contracts.</p>	<p>24 level 4/ECRs, 17 Level 5 staff and 4 Level 6 staff were moved to open contracts - showing a slight increase from 2016/17.</p> <p>We do not have the full data for 2019/20 yet. Deliverable 1.2.iv was achieved.</p>
	<p>1.3 We will implement the <i>Open, Transparent and Merit-based Recruitment of Researchers</i> (OTM-R) checklist and use this as an additional 'quality</p>	<p>By October 2016, the OTM-R checklist will be published on the University's website with mechanism in place for annual update.</p> <p>From January 2017, recruiters of researchers will be made aware of the online availability</p>	<p>HR Recruitment Adviser</p>	<p>Completed – now annual monitoring</p> <p>i) HR policy and practice was reviewed in October 2016 using the OTM-R checklist. 3 areas were identified for improvement.</p> <p>ii) An annual review was conducted in October 2017. Responses were noted as</p>	<p>Action completed</p> <p>The OTM-R checklist was reviewed in March 2020 as 'business as usual.' The checklist is available online.</p> <p>This action is now closed</p>

	<p>assurance' mechanism for our recruitment processes.</p> <p>Owned by: HR</p> <p>Deliverables:</p> <p>i) Initial assessment of current recruitment practice against each of the 23 areas of activity identified on the OMT-R checklist by October 2016.</p> <p>ii) Annual review of checklist established and Actions (if any) identified, implemented, monitored and evaluated.</p> <p>iii) Link to OTM-R available to University staff.</p>	<p>of the OTM-R checklist and best practice for use with regard to all Researcher appointments. A web-link will be included in recruitment guidelines.</p> <p>By December 2019, responses noted as 'Yes completely/Yes substantially' in all 23 areas.</p> <p>From 01 August 2018, OTM-R (or other established quality assurance and assessment mechanisms) will be included in annual review. (see Action 1.4 below)</p>		<p>'Yes completely/Yes substantially' in most areas.</p> <p>iii) The OTM-R checklist is being made available on the Concordat website, under 'What is the University doing about the Concordat?' and a web-link will be on the HR Recruitment Explained page by June 2018.</p>	
	<p>1.4 We will continue to improve the availability of research staff data/ management information to enable the</p>	<p>By September 2020, a data report and analysis will be provided on an annual basis by CDR WG to the Vice President Research & Enterprise (see 7.3 below) and summary findings published on the <i>Working as a Researcher</i> website. The</p>	<p>CDR WG and key Professional Services</p>	<p>On track</p> <p>i) A draft template for data collection has been discussed with E&D and will be refined in 2018-19. Information concerning research staff activity was requested for academic year 2016-17 using a standard template for</p>	<p>Action completed</p> <p>1.4.i – See also snapshot data in 1.2iv above. Our turnover rate was on average 32% for Level 4/ECRs in both 2017/18 and 2018/19. For Level 5 it was 11% in 2017/18 and 14% in 2018/19, for Level 6 it was 9% and 4% respectively.</p>

	<p>University and Faculties to better monitor and assess the positive impact of change initiatives, and to safeguard existing progress and to seek continuous improvement.</p> <p>Owned by: CDR WG</p> <p>Deliverables: i) Key data areas identified by December 2018. ii) Annual report, aligned with the 10 year plan, produced by September 2020.</p>	<p>reporting areas will align with the KPIs in the 10 year plan.</p> <p>Current areas of interest include:</p> <ul style="list-style-type: none"> - employment and retention rates - number of research staff obtaining promotion in the annual promotion rounds - data by gender and BAME staff - competitiveness of pay compared with the sector - occurrences of flexible working - use of fixed term / permanent contracts (initially FHS) (see 1.2 above) - receipt of VC/ staff achievement awards for exceptional contribution (see 2.1 below) - completion of appraisal meetings - level of Research staff involvement in University activities such as engagement, and take-up of 		<p>consistency from: Careers Service; PERu; PublicPolicy@Southampton; International Office; LifeLab; ICURE/RIS. (see 5.2 below)</p> <p>A set of draft questions for data from the HR database has been devised and piloted, and will be discussed in 2018 for 2017-19 data. However, snapshot data, using the pilot template revealed that in 2016-17 we had, on average, 934 research only staff.</p> <p>ii) The Annual Report has not been produced yet, but we expect to do produce a preliminary report in October 2018. Initially we planned to align with KPIs in 2016/2017; however the University refreshed its strategy that year, leading to the new 10 year plan. We currently await more detailed KPIs from the 10 year plan.</p>	<p>Flexible working: In 2017/18, 38 Level 4/ECRs and 13 Level 5 research staff decreased their working hours, whilst 43 ECRs and 7 Level 5s increased their hours. In 2018/19, 42 ECRs and 11 Level 5s, decreased their hours and 32 ECRs and 9 Level 5 increased them.</p> <p>1.4.ii The standard template for data requests from Careers, PERU, Public Policy, International office, LifeLab, ICURE/RIS was not used on an annual basis, however it has been used in 2020 for this report.</p> <p>-----</p> <p>The draft template and annual report that was envisaged in this action will be taken forward in the new University ED&I structure and Equality Charters Programme Board.</p> <p>The fact that we have been able to establish an institutional picture of our research staff and report on data that has been drawn together for HREiR reporting purposes, has been a major achievement and indicates that we have a good foundation upon which to build. We were not able to gather this kind of information about research staff at all in 2012.</p> <p>Please note that the new University level Equality Charters Programme Board's remit is to: 'Improve processes for data collection and dissemination to self-assessment teams; and identify interdependencies, synergies and actions that are critical to all equality charters, and put in place measures to better support these.'</p> <p>This action is closed.</p>
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		provision such as Careers, CPD			
Principle 2 – Recognised and valued	<p>2.1 Building on the success of the Reward Project to improve career pathways within the University, we will ensure managers of research staff have a better awareness and understanding of existing reward and recognition policies, in order that exceptional researcher contributions are rewarded as appropriate.</p> <p>Owned by: Faculties & HR</p> <p>Deliverables:</p> <p>i) Data on research staff achieving promotion and in-level transfer to mixed portfolio pathway.</p> <p>ii) At least one nomination per Faculty of research</p>	<p>With effect from October 2018, and on an annual basis thereafter, achievement of staff awards (by staff category) and promotions will be reported to Faculty Management/CDR WG on an annual basis, to raise awareness of the extent of distribution.</p> <p>By April 2020, and thereafter, each faculty will submit a minimum of one VC award nomination in relation to an individual researcher/team of researchers, for exceptional contribution in collegiality, quality, internationalisation or sustainability.</p> <p>By December 2016, the <i>Working as a Researcher</i> website will contain a case study per Faculty, reflecting research staff experience. By February 2017, website analytics will demonstrate an increase in engagement levels with the site.</p> <p>At least one Faculty by January 2019, a PI recognition mechanism will have been identified, nominations</p>	<p>Faculties, CDR WG, CHEP, HR</p>	<p>Mixed progress to date</p> <p>The mechanisms by which exceptional contributions can be recognised already exist within our University career pathways, via promotion, in-level transfers, staff achievement and VC award schemes, as well as with Faculty level Dean’s awards. However, we have made mixed progress in this area so far.</p> <p>i) The number of staff achieving promotion in 2016-17 was: 23 ECRs achieved promotion to Level 5, and 4 changed career pathway; 10 Level 5 research staff achieved promotion to Level 6, and 4 staff changed career pathway; 2 staff at Level 6 achieved promotion to Level 7 (professoriate) with one person moving career pathway. An example of improvement from the Faculty of Humanities: <i>In 2017, ECRs reported a lack of transparency about who can apply for promotions and at what stage (e.g. whether two year probation needs to be completed). It was felt that departments have differing informal support for this process, however this should be consistent. In response, we ran a development session on promotions 3rd May 2017. Attendees fed back by email that they found this very helpful. This will now be an annual event: this year’s session will take place on 8th May 2018. We have also spoken with HR about disseminating advice to ECRs by email. The promotions website is very user</i></p>	<p>Action completed</p> <p>2.1.i The numbers of research staff achieving promotion in 2017-18 from Level 4 to 5 was 21 staff; from level 5 to 6 was 8 staff and from level 6 to 7 (Professor) was 2. In 2018/19, 16 level 4 were promoted to Level 5; 5 level 5 staff to level 6; and 3 from level 6 to 7 (Professor). These data were consistent with previous years.</p> <p>There were no in level transfers for the reporting years.</p> <p>Staff achievement awards in 2017/18 were made to 17 Level4/ECRs, 8 Level 5, and 2 Level 6 staff. In 2018/19 they were made to 9 ECRs and 2 Level 5 staff.</p> <p>By clarifying our job families and career pathways (in the Reward project which was complete by 2016), the routes open to research staff at all levels are now much clearer than they were in 2012. By simplifying and being consistent with our career pathways, all staff members have access to the same information. Career pathways information is available to all staff on the HR SharePoint site.</p> <p>2.1.ii – In 2017/18, the Women’s Physics Network won a VC award, and in 2018 the WorldPop Team won the Research Impact award. In 2018/19, a single early career award ‘celebrating the extraordinary commitment and achievements of under 5 years’ service’ was</p>

	<p>staff/team to VC Award.</p> <p>iii) Promote recognition of outstanding PIs.</p> <p>iv) Celebratory case studies on WAAR</p>	<p>encouraged, and achievements reported annually to Faculty Management/CDR WG (as with research staff awards above).</p>		<p><i>friendly but ECRs need to be made aware of it in advance and also have key advice about what they need to do thinking ahead flagged up.</i></p> <p>ii) Two research staff and one team received a VC award in 2016 and 2017. We do not have any nominations data for Faculties yet.</p> <p>iii) An award recognising outstanding PIs is underway in the Faculty of Medicine. Where nominations for the ‘most supportive PI’ are currently open (May 2018), with the first awards being made in June. Having piloted the scheme, we would hope that other Faculties will take this up once the new structure is in place.</p> <p>iv) The WAAR website is currently being redesigned and does not have any case studies celebrating achievements yet, but we expect some by 2020.</p>	<p>made. Whilst we missed our 2016 target in this category, and do not have data on Faculty nominations, research staff did benefit from other award schemes. In addition to VC awards, the following Faculties offer internal recognition and award Dean’s prizes to research staff:</p> <p>FELS in 2019 awarded 7 Dean’s prize in categories of: Education, Research, Enterprise, Public Engagement, Citizenship, Career Achievement (x2).</p> <p>FoM - Outstanding ECR contribution to the Faculty are recognised by the Dean’s Awards available in the following categories:</p> <ul style="list-style-type: none"> - Citizenship (delivering seminar programmes, workshops or mentoring / pastoral support - Education (contribution to curriculum development) - Enterprise (establishing a successful industry collaboration) - Public Engagement (organising an effective outreach event) <p>One prize is awarded in each category and presented annually following the Christmas lecture. In 2018, three awards were given (Citizenship, Enterprise and Public Engagement). In 2019, four awards were presented.</p> <p>FEPS: Faculty has annual Dean's Awards and were the first to develop the concept of Faculty level awards to recognise and reward research only staff.</p> <p>2.1.iii - The Faculty of Medicine: Recognition of an outstanding PI was initiated in 2019 via the <i>Best PI award</i> and presented at the annual Faculty Research Conference in June. The 2020 award has been postponed due to Covid19.</p>
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					<p>2.1.iv – Celebratory stories are included in Staff Matters the internal staff magazine.</p> <p>-----</p> <p>The good practice that has been achieved with Dean’s prizes, VC awards, and PI recognition will be carried forward as BAU and considered as exemplars when we conduct the gap analysis for the new version of the Concordat.</p> <p>This action is now closed.</p>
	<p>2.2 We will continue to encourage the greater involvement of research staff in the University environment.</p> <p>Owned by: Faculties & CHEP</p> <p>Deliverables:</p> <p>i) Existing Faculty initiatives will be maintained – expect to see evidence of involvement in</p>	<p>By December 2016 we will have identified appropriate key committees and USRGs² and by 2020 established Research Staff representation on them.</p> <p>We aim to achieve 65% of respondents ‘feeling integrated into the institution’, as per CROS data, by 2019 (from 58% in 2015).</p>	<p>Faculties, CHEP, Public Engagement, RIS</p>	<p>On track –</p> <p>i) Existing Faculty level initiatives have been maintained, including:</p> <ul style="list-style-type: none"> - Faculty of Medicine’s Postdoc Association, - Faculty of Health Sciences’ Fixed Term Contract forum, - Faculty of Humanities’ ECR representatives in each department - The Faculty of Natural and Environmental Sciences’ Early Career and Teaching Fellows committee - Faculty of Engineering and the Environment’s ECR careers group. <p>Whilst 80% said they were integrated into their departmental research culture in CROS 2017, up from 77% in 2015, only 54% indicated that they felt integrated into the institution research community. An area we will need to work on for 2020.</p>	<p>To be carried forward</p> <p>2.2.i - CROS 2019 data indicated that 57% of respondents felt ‘integrated into the institution’, which was a slight improvement on 2017 (54 %). Whilst we did not meet our original target of 65%, this was an achievement in view of the restructure. Indicating, perhaps, that the work of the Faculty Concordat Champions and Research Staff representatives was impacting on the researchers’ experience.</p> <p>2.2.ii – Work on identifying University committees for Research Staff to be involved with was largely postponed at University level in view of the restructure.</p> <p>However, there are research staff & ECR reps on Faculty committees and often at school level as well. For example:</p>

² USRGs = University Strategic Research Groups <http://www.southampton.ac.uk/interdisciplinary/usrgs/index.page> UPDATE: 2020 The USRGs no longer exist.

	<p>CROS and annual data gathering.</p> <p>ii) We will identify relevant University level committees, including the USRGs, by December 2016, and aim to increase representation in one Faculty (yet to be agreed) by the end of 2017.</p>			<p>ii) We can report great success in the Faculty of Humanities: <i>In line with the concerns raised and with the University Plan, we added a new strand to our plan in 2016: ECR Representation. We have formed an ECR Faculty Committee. Each Department with ECRs has an ECR Representative on this Committee, which meets once a semester. ECR Departmental Reps also passed on concerns and gave input about ECR matters by email throughout the year as well as cascading information to ECRs in their department. In addition, we identified a list of strategic Faculty level committees where ECR representation would be appropriate: the Graduate School Committee; Research Committee; Equality, Diversity & Inclusion Committee; Athena Swan; Faculty Programmes Committee; Research Impact Group. The Faculty ECR Committee has arranged for ECRs to sit on each of these committees.</i></p> <p>We have not yet, however, been able to identify relevant University level committees – this action will be delayed further by the restructure in August 2018 – but we still aim to complete it by the 8 year review.</p>	<p>The School of Biological sciences ECRs are represented on EDI, Research Strategy, and Health and Safety committees.</p> <p>FAH: There is an ECR rep on the Research Management committee.</p> <p>FoM: Committees with research staff reps include:</p> <ul style="list-style-type: none"> • Postdoctoral Association • Athena Swan/ED&I • Enterprise Board • Mentoring Sub-Committee • FoM Ethics Committee <p>FSS – there are ECR reps on Athena Swan and the Faculty Research and Enterprise Committee.</p> <p>Concordat Champions represent ECR issues on FoM, FELS and FSS Research Management committees.</p> <p>-----</p> <p>We will continue to encourage the greater involvement of research staff in the University and Faculty environment as we go forward.</p>
	<p>2.3 We will continue to embed the new appraisal process and to monitor the</p>	<p>Annual Appraisals are mandatory for all staff and by 2018, completion of appraisals will be monitored annually by HR via the University's VLE with</p>	<p>Faculties, CHEP, HR, CDR WG</p>	<p>On track & exceeding expectation</p> <p>The improvement in the online appraisal process has been dramatic at University level; from 41% in 2009, when we were behind the sector, to 79% in 2017 (as per</p>	<p>Action completed</p> <p>2.3.i - The online appraisal system is well-established and is part of BAU. Deans can identify</p>

	<p>experience of appraisals for research staff.</p> <p>Owned by: Faculties and HR</p> <p>Deliverables:</p> <p>i) Building on the success so far, we will continue to increase the percentage of research staff receiving an appraisal, so as to remain in-line with the UK HEI sector. We will use data from the HR database to corroborate CROS data, in terms of participation rates.</p> <p>ii) We will use CROS data or other metrics to assess the impact of the appraisal process on research staff.</p> <p>iii) Training materials available to all research staff and 90% of</p>	<p>data provided to faculty management for action as appropriate. The participation rate data of research staff will be included in the HR annual data report, against an uptake target of 85% in the first instance.</p> <p>By October 2016 appraisal resources and guidance will be promoted on-line and available to view by 100% of research staff eligible for an appraisal.</p> <p>By January 2017, all managers of research staff will have been offered the opportunity to attend appraisal training and over 90% of managers will have undertaken the training.</p> <p>Beginning in October 2017, the CDR WG will gather qualitative data from research staff, in at least two Faculties, on the appraisal experience from the researcher perspective and report this annually to the HR Reward team.</p>		<p>CROS). Changes to the HR system and the creation of an online appraisal process mean we are now able to identify who is eligible; who has and not had an appraisal. Deans now chase staff (on at least two occasions) who have not received an appraisal within a University level set time frame. The completion rates and moderated scores are reported to UEB. Whilst participation and monitoring of this has vastly improved, it was a key aim of this Action Plan to focus on the impact of Reward Project changes and the quality of experience for Research staff.</p> <p>i) CROS 2017 data indicated a participation rate of 79% in appraisal process. Whilst our own HR data in 2016-17 indicated that 85% of Level 6 staff had received an appraisal (meeting our target set in 2016), but that only 75% of ECRs and Level 5 staff had done so. We expect this number to improve as the online appraisal process beds in.</p> <p>ii) CROS 2017 data has revealed some interesting aspects of appraisal; enabling us to monitor and assess the impact and effectiveness of appraisal amongst the research staff population in unexpected ways, i.e.:</p> <ul style="list-style-type: none"> In 2017 76% of respondents reported that the process was 'leading to changes in work practices', whereas in 2013, only 46% stated the appraisal had led to work practice change. 	<p>who has and has not received an appraisal and prompt line managers where appraisals have not been carried out. 'There is a list!'</p> <p>2.3.ii - CROS 2019 indicates that 77% of respondents participated in an appraisal. Similarly, our HR records show an uptake of 78% for Level 4 staff, 89% for Level 5 and 90% for Level 6 staff. Whilst we met our target for Levels 5 and 6, we still need to pay attention to our Level 4/ECRs appraisal rates.</p> <p>It is clear that continued effort and promotion is required for this cohort of staff. This will be a lesson learned for the forthcoming gap analysis.</p> <p>2.3.iii – From autumn 2018 (for those appraising level 7s) and from January 2019 (for those appraising levels 4-6) a new workshop 'Appraising with Confidence' was introduced. Reporting of attendance (and percentage attendance from the managers of levels 4-7) has been massively improved.</p> <p>Online training materials are available to all staff, both appraisers and appraisees i.e. 100% of research staff eligible for an appraisal.</p> <p>2.3.iv – FELS and FoM enquired into the quality of the appraisal experience for research staff. The FoM 'PDA Committee agreed that each PDA rep within their School will take the opportunity during the Research Clubs to emphasise the benefit of the appraisal as: 1) The time to reflect on where the individual is professionally and where he/she wants to be, thinking about the next step of their career. 2) To discuss the possibilities to support and guide his/her towards</p>
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	<p>research managers trained in appraisal.</p> <p>iv) The CDR WG will collate evidence of the quality of the appraisal experience.</p>			<ul style="list-style-type: none"> • Comparison with the Benchmarking group in 2017 indicated that we have fewer staff who 'have not been invited to' an appraisal than the comparator group, i.e. 10% of Southampton respondents stated they were not invited, compared with 33% of the group. Whilst 37% of our respondents 'know' they have not received an appraisal because they are on probation, only 10% of the benchmarking group stated they were on probation in the survey. <p>iii) All processes and policies have been published on a dedicated internal SharePoint site and are available to all staff. Appraisal training (including an introductory Academic Appraisal module in Blackboard and face-to-face session) was established in 2015-16 for all managers, with a minimum of 91% completion rate pre Faculty. Since June 2017, appraisal training has been included in the Maximising Contribution workshops.</p> <p>iv) Feedback has been received from Research Staff on the quality of appraisals by FNES and FoM. A question for Athena SWAN provides further insight from all departments involved in this process.</p>	<p>the next step, even if this is outside academia, such as looking at the transferable skills workshops available within the Faculty and University.' In this way, the specific needs of research staff can be met at School level.</p> <p>CROS 2019 respondents reported that the appraisal was useful for identifying strengths (79%) and reviewing personal progress (76%), which has been an improvement since 2017.</p> <p>-----</p> <p>We have made great strides in improving the reach and quality of the appraisal process since 2012. Although, feeling the impact of restructure we seem to have plateaued in 2019, but we are in line with the sector, which was our original aim. Monitoring appraisal uptake is BAU for Faculties, whilst attention to the quality experience will continue as a lesson learned in the forthcoming gap analysis.</p> <p>This action is closed</p>
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<p>Principle 3 – Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment</p>	<p>3.1 The University is involved in a wide range of international partnerships, activities, and schemes such as the WUN, and we would like to encourage greater research staff (and doctoral researcher) involvement with these. With this aim in mind, we seek to understand the international dimension of research careers better.</p> <p>Owned by: Vice-Presidents Research and International</p> <p>Deliverables:</p> <p>i) Benchmark data of level of involvement in international schemes.</p> <p>ii) KPIs set in line with strategy and 10 year plan.</p>	<p>By October 2017, we will have established benchmark data (in collaboration with the International Office) and a KPI (in 2018, and in line with University strategy [and 10 year plan]) to improve access to information and participation in international opportunities and schemes.</p> <p>By October 2018 advice, resources and case studies will be available online at the Working as a Researcher website, in support of research staff considering international working/partnerships.</p>	<p>CDR WG & International Office</p>	<p>On track</p> <p>The University continues to provide a wide range of opportunity to research staff including:</p> <ul style="list-style-type: none"> - Research Visit to WUN Partners open to ECRs (and PhDs). - Erasmus training /teaching weeks /Funded Research - Funding and International Engagement briefs and presentation (twice a year) <p>WUN research funding and briefings are specifically targeting the ECRs. April 2018 saw the introduction of the Global Research Initiator scheme aimed at ECRs</p> <p>i) Participation data for 2016-17 showed that 111 ECRs had participated in the International Office’s activities. With attendance as follows: Funding: 10 ECRs (and 5 PhDs) of whom 4 were women; Briefings: 93 ECRs; and Erasmus Conference: 3.</p> <p>In 2018, to date 157 researchers have participated as follows: Briefings: 128 ECRs (Including 2/3rd year PhD students) Funding: 18 ECRs and 6 PhDs, includes 10 women</p> <p>Erasmus Funded Research: 1 PhD Erasmus Mobility: 2 PhDs and 1 ECR.</p> <p>The sessions were very well received, as sample feedback indicates: <i>“This Project enabled me to obtain a rich international experience and to enhance my international profile....It also give me the opportunity to explore the new research area..., acting as a “proof of principle” for my Royal Society</i></p>	<p>Action completed</p> <p>3.1.i - We continued to encourage research staff to take advantage of our international partnerships. Between 2018-20, the International office ran several briefing sessions per annum, mostly related to opportunities with WUN and the Global Fellowships Award, plus a RENKEI session in January 2020 and the average turnout has been between 12 -16 participants. A session in March 2020 on funding opportunities for international mobility, with the Japan Society for the Promotion of Science, aimed at ECRs attracted 35 attendees.</p> <p>A WUN SharePoint page has been created providing information to all staff on the opportunities available.</p> <p>The attendance data for International Office events over the past two years are in line with our benchmarking data reported in 2018.</p> <p>We held an inaugural GCRF Showcase in March 2019 with 117 attendees and had planned to hold it as an annual event. The March 2020 showcase has been postponed.</p> <p>3.1.ii – KPIs still need to be set in line with the University strategy. This will now come under the remit of the Equality Charters Programme Board.</p> <p>3.1.iii – Information and resources are signposted on the WAAR site.</p> <p>This action is closed.</p>
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	<p>iii) Information and resources on WAAR.</p>			<p><i>and EPSRC Early Career fellowship Applications."</i></p> <p>The challenge going forward is how to encourage more research staff to make the most of the opportunities available.</p> <p>ii) KPIs have not been discussed yet and will be delayed until after the restructure.</p> <p>iii) As WAAR is being updated, resources will be included.</p>	
	<p>3.2 We will improve support for the 'global researcher'</p> <p>Owned by: Faculties & CHEP</p> <p>Deliverables:</p> <p>i) information and support for international staff on WAAR. ii) CPD to encompass 'global researcher' interests.</p>	<p>Advice and guidance (see 3.1 above) will be available to all research staff via the Working as a Researcher website (where in 2016, nothing was available). By October 2020 the CPD offering for researchers will address the needs of the 'Global Researcher'. Potential areas of interest include:</p> <ul style="list-style-type: none"> - working with diversity - information on global careers and education - business acumen - digital skills. 	<p>Faculties and CHEP</p>	<p>On track</p> <p>In 2016-17, at level 4 we had approximately 25% of research staff are international and 27% from the EU, whilst at level 5 around 18% of research only staff are international and 18% EU.</p> <p>i) We consulted research staff about what should be included in the WAAR website and we will be addressing international staff needs as a result of this feedback.</p> <p>ii) We anticipate further information and ideas from research staff as we improve our CPD offer research staff (see 4.1 below).</p>	<p>Action completed</p> <p>Snapshot data shows that across Levels 4 – 6 in 2017/18 we had 247 EU/EEA (25% of total research staff cohort) and 218 research staff from the rest of the world (23% of the cohort). In 2018/19, 243 research staff were from the EU/EEA (25% of total cohort) and 242 from the rest of the world (26% of the total research staff cohort). International staff ratios remained consistent with 2018.</p> <p>3.2.i – Information is available on the HR and WAAR websites. This is now BAU.</p> <p>3.2.ii – The GCRF has provided us with the opportunity to inspire research staff by sharing best practice and enabling them to meet with GCRF partners through the GCRF Showcase, which is planned as an annual event. In 2019, 117 research staff attended the Showcase</p>

					<p>In addition, FELS ECRs on BRECCIA-GCRF and are active in the Faculty and School: http://www.gcrf-breccia.com/uk-team/</p> <p>This action is closed in its current format.</p>
	<p>3.3 We will establish greater transparency and clarity of policies and practice affecting research staff and, where appropriate, re-present it in a user-friendly way.</p> <p>Owned by: PVC/VP Research</p> <p>Deliverables:</p> <p>i) Guidance to research staff easily available via handbooks/specific guidebook/WAAR</p> <p>ii) Data/evidence gathered on use and, where possible, impact.</p>	<p>By October 2020, relevant guidance will be available in handbooks/specific guidebook/online advice for research staff in all 8 Faculties. Online information accessible to 100% of research staff, as identified in the HR database. WAAR website analytics available.</p> <p>By May 2019, our aim is that research staff will be better informed 'of UK initiatives relevant to research staff' in the CROS data i.e. we will have reduced the number who have 'never heard of...' the Concordat (to less than 44%) and the REF (to 10%).</p>	<p>CDR WG, HR, Faculties & CHEP</p>	<p>On track</p> <p>i) In 2016, the Faculty of Health Sciences piloted the creation and use of a Guidebook for Research Staff. Following evaluation and review of the pilot, this information will be shared with other Faculties to incorporate into existing handbooks or new documents if required, during 2017-18. The redesign of WAAR will also signpost staff to relevant information.</p> <p>ii) Web data will be collected from WAAR.</p> <p>CROS data in 2017 showed that research staff were most aware of the Athena SWAN charter and the REF, with only 11% and 12% stating they 'have never heard of this/these' respectively. Knowledge of other UK initiatives was clustered into groups, where no knowledge of all Concordats was around 52%, although Research Integrity was 62%. Least amount of knowledge among CROS respondents was for the NCCPE and ECU Race Equality Charter.</p>	<p>Action completed</p> <p>3.3.i - WAAR is an outward facing source of information for research staff, which, since 2019, has become a shared site, reflecting our collegiate approach. There are contributions from: RIS, PERU, PP S, the Library, CHEP and International Office. WAAR signposts research staff to information of specific relevance to them, as much of the information is on the intranet or in SharePoint and incorporated into all staff information. To ensure that research staff can access the information need, we have multiple points of access. The WAAR website is available to all research staff and all those on the HR list (100% Research only) will have received links to it.</p> <p>3.3.ii - Analytics on WAAR have been collected since July 2018 (see 1.1.i above).</p> <p>CROS 2019 data showed that those who had never heard of the REF was 14%, whilst 55% had no knowledge of the Concordat to Support the Career Development of Researchers, which was in keeping with the other Concordat – although, sadly, we missed the target set in 2016.</p> <p>-----</p> <p>This action is closed and new targets on keeping research staff informed will be set with the forthcoming gap analysis as required.</p>

<p>Principle 4 – The importance of researchers’ personal and career development is recognised and promoted</p>	<p>4.1 We will undertake a project to improve professional development support (Continuing Professional Development - CPD) - <i>(proposed by Dr Peter Worsley, Senior Research Fellow)</i></p> <p>Owned by: CHEP & Faculties</p> <p>Deliverables:</p> <p>i) Refreshed CPD programme available.</p> <p>ii) All newly appointed staff to be offered access to induction module.</p> <p>iii) Data on up-take/ participation</p>	<p>By the end of 2018, the new CPD offer will be in place and available to all research staff.</p> <p>The timescale for delivery is:</p> <p>2016 – Project Scoping 2017 – Research and design 2018 – Implementation 2019 – 1st year evaluation and review 2020 – 2nd year evaluation and review</p> <p>By October 2017, 100% of new research staff (as identified in the HR database) will be invited to attend the Research Staff Induction module.</p>	<p>Research Staff, Faculties, CHEP, E&D, RIS, Library, iSolutions, IO, & HR</p>	<p>Delayed – but on track</p> <p>In 2016 we proposed a research staff led project on CPD would begin, supported by the Researcher Developer. A key aspect of the project was to explore the feasibility of creating an accredited programme, comparable to other sectors and international institutions (i.e. in Australia, and Ghent). We are exploring the possibility of introducing the new Academic Professional Apprenticeship (APA) to fulfil this ambition. This situation will be clearer by 2020.</p> <p>i) Review of CPD offer by CHEP staff is underway.</p> <p>ii) The research staff induction module was delivered face-to-face but will be moved online. This is a change from our original plan and will be complete by the 8 year review.</p> <p>iii) Data gathering mechanisms are being identified.</p>	<p>Outstanding but closed in current form</p> <p>4.1.i - The restructure in 2018 heralded a move towards a distributed model of CPD, with the greater involvement of Faculties, a range of Professional Services, and line managers. CPD was refreshed, yet the action was not fulfilled in the way that Dr Worsley initially envisaged it.</p> <p>Research staff had access to CPD more closely matched to their disciplinary needs. For example, all Faculties have provided grant funding events, in addition to those from RIS, for their disciplines.</p> <p>A comprehensive range of CPD has been offered by a number of units and services. Library staff continued to offer:</p> <ul style="list-style-type: none"> - Bibliometrics: Measuring the impact of research - How to make the most of Open Access publishing - Research Data Management: what funders expect and what you need to do <p>In total, the Library offered 12 sessions to 68 research staff.</p> <p>The Library introduced an annual Open Research Symposium in 2019. The first symposium, Plan S Symposium & Panel Event, was held in March 2019 and attracted 33 participants. The 2nd Open Research symposium ‘Credit where Credit is due’ had over 100 registrations, but the event has been postponed due to Covid19.</p> <p>CHEP continued to offer:</p> <ul style="list-style-type: none"> - Peer Review with Purpose with Thinkwrite - Quality Papers with Thinkwrite - Writing Science for the Public with Thinkwrite <p>CHEP offered a total of 6 sessions to 81 research staff.</p>
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				<p>CHEP introduce a leadership session for 70 ECRs February 2019.</p> <p>A Symposium on Planning your Research Career, May 2019, attracted 65 Level 4 research staff. This symposium was followed with a feedback workshop on the research staff experience, which fed into this Concordat review.</p> <p>In the past two years (2018-March 2020) PERU offered 10 events to 35 research only staff, including:</p> <ul style="list-style-type: none"> • Introduction to Public Engagement with Research • Engaging audiences from the stage • Engaging with schools • Science shows 101 • Making Public engagement accessible (for vision impairment and autistic people) • Public Engagement as a route to research impact <p>LifeLab offered 2 Meet the Scientist training sessions to 13 research only staff.</p> <p>In 2018-19 RIS offered 26 events on a variety of Fellowship training and Funder visits to 477 attendees, including research only staff.</p> <p>In 2019, after a review, the decision was taken not to implement the APA.</p> <p>4.1.ii – All staff have access to a local and institutional Welcome and induction portal with online resources.</p> <p>4.1.iii - CROS 2019 showed that 68% of respondents had undertaken up to 5 days training, 13% had undertaken none and 6% had engaged in more than 10 days training.</p> <p>-----</p>
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					This action is no longer relevant in its current form. The subject matter of CPD will be reconsidered as it features in the new Concordat.
	<p>4.2 We will review and Improve our careers offer for research staff.</p> <p>Owned by: CHEP & Careers Service</p> <p>Deliverables:</p> <p>i) Refreshed careers offer, making better use of alumni data.</p> <p>ii) We will continue to offer high-quality careers coaching to individuals where appropriate and to ensure better sign-posting and support for a range of career options for all staff.</p> <p>iii) Career roadmaps available online to all staff.</p>	<p>By October 2019, a new careers offer and range of resources will be available to all research staff. Appropriate KPIs relating to participation will be in place and monitoring begun.</p> <p>Between October 2016 and September 2020, levels of 1-2-1 careers coaching will be maintained at, or where resources allow, increased above 2016 levels (i.e. not less than 30 per annum).</p> <p>The Faculty of Natural and Environmental Sciences (FNES) will develop and pilot advice on 'how to move between career pathways' in 2016-17. Availability of this information will be extended to other Faculties and by October 2018, advice on 'How to move between career pathways' will be available online to staff across the University.</p> <p>By October 2018, researchers will have online access to Faculty-based or Discipline specific career road maps, in at least one Faculty.</p>	<p>Careers Service, Faculties, CHEP</p>	<p>On track</p> <p>i) The specialist Career Practitioner and Professional Coach for researchers reviewed the careers offer with Faculties, Concordat Champions and feedback from research staff, and introduced a new, bespoke approach in 2018 – working in Faculties with the smaller groups. He has moved away from generic centrally organised sessions to working with Faculty champions to deliver 'portable and adaptable' sessions on Managing Your Career. These local sessions are proving much better at dealing with people's questions and needs, and are very well received.</p> <p>Examples of feedback include: <i>'Although I am working within a precarious employment environment, the session gave me confidence to start planning a career path rather than simply waiting for the next opportunity to appear.'</i> ECR at NOCS</p> <p><i>'The feedback from this event by attendees was great and I would very much like to make it a recurring event, perhaps with a different mini-workshop each time to keep it a bit different depending on feedback from past participants. Holding a workshop like this for ECRs at NOCS/OES (and organized by the OES Concordat Rep) was very well received around the department by other initiatives such as the Athena Swan Committee as a positive step to providing the training and support that ECRs need during the beginning of their careers.'</i></p> <p>Whereas in 2016-17, 40 people attended centrally provided sessions, in 2017-18, 60</p>	<p>To be carried forward</p> <p>4.2.i – Research staff have access to all Careers Services resources for non-academic careers advice – this includes online resources via 'My Career', the online career platform that has a dedicated section for ECRs. In addition, ECRs can use the Careers service by attending workshops and events – although these general workshops are open to all students and graduates, so numbers of ECRs attending are usually small (i.e.3 per annum) as the session content is not targeted to this user group.</p> <p>The 'portable and adaptable' sessions have been devolved to Faculties. For example, at the FELS ECR away day 2019 there were sessions on "meet the researcher" & "meet the professional".</p> <p>FoM: A career event took place on the 18th June 2019 and was very well attended by more than 120 people. The programme included external and internal speakers from a wide range of positions, all with a PhD degree but not working as academics.</p> <p>4.2.ii – ECRs have access to 1-2-1 careers coaching with Careers Service specialists either via Drop-ins (10 minutes) or Guidance appointments (of 30 or 45 minutes).</p> <p>CHEP hosted an academic leadership event led by the Dean of FEPS in February 2019. A Planning your career symposium was held in May</p>

				<p>research staff have already participated in the careers sessions (up to May)</p> <p>ii) Guide notes on 'how do you make progression to Level 5' was drafted in FNES, in response to request from research staff in Biological Sciences, and piloted in 2017. It will be circulated to CDR WG and key points place on line. WAAR is being redesigned – refreshed information will be available by August 2020.</p> <p>iii) The Faculty of Medicine career roadmap will be available online in July 2018 and a template is ready for other Faculties to populate.</p>	<p>2019, both events attracted around 70 attendees.</p> <p>4.2.iii – The FoM Career Roadmap was populated and is available to research staff.</p> <p>A Clinicians roadmap is currently being scoped, with exemplars and case studies being identified.</p> <p>-----</p> <p>We will continue to review our careers offer to research staff under the new Concordat.</p>
	<p>4.3 We will create an 'employment module' to assist research staff moving to sectors outside of academia.</p> <p>Owned by: CHEP, Faculties & Careers Service</p> <p>Deliverables:</p> <p>i) Blended learning module available</p>	<p>We will design and deliver an 'employment module' to research staff, for those staff looking for positions outside of academia. We will work closely with employers, the Careers Service, researchers and alumni, in 2016-17, to scope the module. The module will be designed in 2018 and piloted in 2019. Led by the Researcher Development Coordinator. By October 2020, the employment module will be offered to all research staff under formal notice of the end of their fixed term contract i.e. 100% of staff as identified through the HR database.</p>	<p>CHEP, Careers Service, Faculties, & CDR WG.</p>	<p>Outstanding –</p> <p>i) Work on this module was delayed due to the ILIaD-CHEP restructure. It was further delayed whilst we establish how the new APA will be implemented in the University.</p>	<p>Outstanding but closed</p> <p>4.3.i – The 'employment module' was a nice idea in 2016, but there has not been the resource to develop it, so we have closed it for the time being.</p>

<p>Principle 5 – Researchers share responsibility for and need to be pro-active in their CPD</p>	<p>5.1 We will continue to encourage research staff to be pro-active in their professional development and career management.</p> <p>Owned by: Faculties & CHEP</p> <p>Deliverables:</p> <p>i) We will continue to encourage, both at University and Faculty level, the growth of personal career-planning, engagement in professional development, and the recording of achievement (this will build on our success up to 2016 and will form part of the CPD project, see Action 4.1 above).</p> <p>ii) We will continue to encourage the use of the Appraisal process to discuss the</p>	<p>By May 2019, more than 55% of research staff will be reporting in the CROS that they ‘have a clear career development plan’ (whereas in 2015, 47% said they had one), and more than 80% will be reporting that they are treated fairly in their ‘career progression/promotion’ (from 72% in 2015).</p> <p>By May 2019 there will be an increase in number of staff reporting they keep a record of their development and achievements, to at least 65% as per CROS data (where in 2015, 57% reported they had one).</p>	<p>Faculties & CHEP</p>	<p>On track</p> <p>ii) CROS 2017 data, 60% reported they had career plans and placing us ahead of the Russell Group and exceeding our target of 55%. In our Faculty of Humanities 100% of respondents reported that they had a career plan in 2017, which was outstanding.</p> <p>Other notable Faculty achievements since 2016 include:</p> <p>Faculty of Business and Law: Introduced career development and skills development sessions in 2017-18 on topics of interest to research staff and teaching fellows. These bite sized sessions also promoted the skills of staff with guest speakers on using efolio, voice and language, for example. Attendance depended on the session i.e. Voice had 6 people. NB: <i>there is small researcher cohort in the Faculty.</i></p> <p>Faculty of Engineering and the Environment: The research staff continued to design and run local group discussions, with invited guests & experts, on “How to further your career for researchers.” Some sessions were consolidated to ensure a steady attendance rate (previously a decrease in attendance was noticed during the course of the academic year 2016-17 and for specific topics) and the number of sessions was reduced from eight to five. This academic year (17-18) the first four sessions have had a more steady attendance with an average attendance about 20, of whom about 30% are female.</p> <p>Faculty of Health Sciences: In 2016/17 FoHS pioneered the process to invite fixed-term</p>	<p>Action completed</p> <p>5.1.i - CROS 2019 data indicated that 54% ‘have a clear development plan’ (missing our 2016 target by 1%!) and 65% indicated that they keep records, which was on target. Although the responses were lower than CROS 2017, over all this is still part of the improving trend since 2012.</p> <p>5.1.ii - 89% of CROS 2019 respondents reported being treated fairly in their day to day work and with access to training and development.</p> <p>Notable Faculty achievements since 2018 include:</p> <p>FAH – The Faculty Concordat Champion held one-on-one meetings with all research staff. She established a representative at the Winchester School of Art, which previously was outside the Faculty. This completed the reps for the Faculty. The Champion held social events and support groups, and workshop days.</p> <p>FELS: The Faculty Concordat Champion has a team of ECR reps who decide and lead on activities collectively. They have delivered the following through their Concordat group:</p> <ul style="list-style-type: none"> • ECR conference, for ca 40 ECRs • Grant review workshop and mock panel (2018), 30 ECRs • Early career researcher away day (2019), ca 45 ECRs <p>The FELS Concordat group are establishing a new mentoring system. Each new ECR will be given a</p>
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	<p>impact of development undertaken and identify future development needs and associated action plan.</p>		<p>employees to transfer to an open-ended contract when they have completed four years' service with UoS. Due to this strategy, 29 FTC employees (5M:24W predominately L4) were invited to transition to open-ended contracts. Since introducing this process, 23 have converted, i.e. 79% (4M:19W). L5 dropped from 24% FTC to 10% FTC. Feedback from staff includes: <i>"I now feel more secure in my position, which encourages me to want to stay at the university."</i> <i>"The process was quick and straightforward, with clear explanation the pros and cons of Open-Ended against FTCs."</i> The Faculty's 'ECR Forum', set up by Cheryl Metcalf (Faculty Concordat Champion 2012-17) and Jessica Comper in December 2013, is for all faculty staff that are on a fixed term contract. The forums, scheduled for one hour every two months, are designed to provide a regular and confidential meeting point for FTC staff, where issues relevant to their work can be raised and explored. The forums ran throughout 2016, 2017 and 2018 and have provided useful feedback on a range of issues including appraisals. Enquiring into the quality of the appraisal experience will be a key strategic focus during the next 2 years as a result of this feedback.</p> <p>Externally grant funded staff appraisals are currently being conducted by their PI.</p> <p>Informal feedback to SAT reveals that some staff feel that the power dynamic between an ECR/FTC staff member and the PI can impede their progression</p>	<p>mentor for 'start-up help' and then a list of potential contacts for more specific mentoring:</p> <ol style="list-style-type: none"> 1. Fellowships/grants 2. Parenthood and working part-time 3. Living and working abroad 4. Industry experience 5. Leadership and line management 6. Teaching 7. Wellbeing <p>Across the school of Biological Sciences there are also key people for "Managing Difficult Situations" e.g. PI problems.</p> <p>The Champion cites the ECR Away day as particularly impactful, with ECR comments including "the conference was valuable as a new member of staff trying to navigate the ECR world within a new Faculty", and "it was a good opportunity for networking with ECRs outside of our school". ECRs said they learned a lot from talking to those in industry and from the talk from RIS. Also, they felt valued that the Dean, Rachel Mills, took time to talk to the group.</p> <p>FEPS – Each school has its own Concordat Lead who works with their researchers and who meet with the Faculty Concordat Champion every six weeks. The Faculty has a dedicated website for Research Careers Support and provide a variety of workshops and events at Faculty and School level. FEPS aim to run 10 events a year. Past events include:</p> <ul style="list-style-type: none"> • a Science tour of London • Future World Spin Out opportunities • Research Fellowship event
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			<p>Action point: Review and amend the annual appraisal process for FTCs and ECRs.</p> <p>Faculty of Humanities: We held a continuing programme of regular development sessions on topics of interest to ECRs including funding, internationalisation; careers outside academia etc. There was a revision of ECR funding policy to make it fairer and to improve understanding of how it works. We have set up a two year cycle of flagship events to improve ECR visibility and collaboration between ECRs in the Faculty: ECR Summer Presentations (even years)/ ECR Networking and Fostering Collaboration Event (odd years). Our strategic focus in the next 2 years is to establish a mentoring strategy with a formal mentoring scheme by 2020 and to improve our communications in a new strategy instigated by ECR departmental reps: to make it easier for ECRs to find information by improving the ECR page on the Faculty website and linking to an ECR subsection of SharePoint (embedded with the Faculty Research SharePoint) with helpful information including the ECR funding policy, handouts from development sessions etc.</p> <p>Faculty of Medicine: COMMUNICATION, ENGAGEMENT AND RECOGNITION. We have performed a questionnaire in the Faculty of Medicine and it has shown that there is little knowledge about the PDA (postdoc association) SharePoint site and hence the next few years will be spending</p>	<ul style="list-style-type: none"> • Working with Industry – a two day residential • Fellowship: a beginners guide • Fellowships: how to talk about yourself and your skill set • Pitching persuasively • Faculty wide research week. • The School of Chemistry held a workshop on self-reflection, Develop from Within. • Electronics and Computer Sciences held Tea and Cake sessions for Research Staff <p>All ECRs were invited to a Concordat launch and review event in October 2019, which was opened by the Dean.</p> <p>FoM: The Faculty has a long-established Postdoc Association, a comprehensive professional development offer and mentoring scheme. The Postdoctoral Association Steering Committee meets 5 times a year and reports to the Research Management Committee, and the ADR then reports to the Dean. The PDA steering committee receives reports from the Mentoring committee. The Concordat Champion chairs the PDA and also sits on the Faculty Research Management Committee. Since 2013, the Faculty has made continuous improvements in engaging the researcher community, in communicating with researchers (with a well-maintained distribution list), and a dedicated support officer. Communication is via:</p> <ul style="list-style-type: none"> • Enews, a weekly email to all staff • Emails including a manually maintained list of postdoctoral researchers and a PGR distribution list
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			<p>on increasing the awareness of this repository for key information for ECRs. In order to raise awareness amongst the academic staff of good career mentorship of an ECR, the PDA was spearheaded a new Dean’s Award for “Most Supportive PI” and the Award will be presented for the first time at the joint Faculty of Medicine and Health Sciences research conference 7th June.</p> <p>INDUCTION. We continue with our yearly induction in November and are reviewing the programme and items covered every year to ensure that this is what the ECRs need and it is up to date.</p> <p>MENTORING AND RECOGNITION. We continue to drive forward the usages of mentors in the Faculty of Medicine and the awareness of the mentoring scheme in the Faculty is increasing.</p> <p>APPRAISAL. The faculty is still committed to ensure all ECRs are having annual appraisals and there is a continuing mandatory training of academic staff in the appraisal process. Our internal survey highlighted that this is the way most ECRs find information about and for career progression.</p> <p>CAREERS: The career roadmap template was populated with case studies and made available internally.</p> <p>Faculty of Natural and Environmental Sciences:</p> <p>The Faculty research staff, teaching fellows and Concordat Champion organised a calendar of events including a summer programme, such as the Postdoctoral</p>	<ul style="list-style-type: none"> • The School Research Clubs (see below) • Medicine mentoring and Postdoctoral Association webpages (internal) <p>Annual activity for Research staff includes:</p> <ul style="list-style-type: none"> • The Christmas lecture • The Faculty Research Conference • The Transferable Skills Programme • Enterprise and career events <p>The Transferable skills programme is advertised on the PDA website: https://sotonac.sharepoint.com/teams/FacultyofMedicine/SitePages/PDA-Training-Dev.aspx</p> <p>During 2019/20 the following workshops were held as part of our transferable skills training programme (attendance in brackets)</p> <ul style="list-style-type: none"> • Voice skills (7) • Employment outside academia (10) • Supervisory skills (10) • Life: Work Balance (10) • How to become a lecturer (9) • Scientific writing: effective scientific writing (15) • Scientific writing: research papers (15) • Enhance your abstract writing skills (18) • Building relationships: the language of mentoring (21) <p>Several others have been cancelled due to covid-19. We are looking at holding a virtual course on ‘CVs and applications’ and will explore other courses should this prove successful.</p> <p>Medicine Mentoring activities include:</p>
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			<p>conference, and the Dean’s prize process. The postdocs are supported in these events by the Concordat Champion, who acts as a mentor to the group. The decision was taken in 2016 to move to a biennial cycle of summer events, i.e. a conference one year and workshops the next. The conference was successfully held in 2017 and grant writing workshops are being planned for 2018. Representatives from the three academic units comprising the Faculty, met quarterly as the Faculty Steering Group during 2016 and 2017 (2018 is ongoing). Each academic unit is represented by a researcher and a teaching fellow, and the meetings chaired by the Concordat Champion.</p> <p>The Dean visited each academic unit, i.e. The Dean’s Roadshow, to engage with the research staff and to discuss their issues. Following the meetings, the Champion reported on the key points to the Faculty Executive Group (FEG); these points, from 2016 visits were included in the 2017 update of the Faculty Action Plan and the outcome of the 2017 roadshows will also be included in plan updates. The Head of the Biological Sciences Academic Unit also holds ‘no agenda’ meetings to complement the Dean’s Roadshows.</p> <p>Guidance has been drafted and piloted in one academic unit on ‘how to progress to the next career level’ and will be extended to other units in 2018.</p> <p>The Faculty Action Plan is reviewed by the Faculty Steering Committee and aligned with the University plan. The Concordat</p>	<ul style="list-style-type: none"> • Regular “Find me a mentor” sessions. There are well attended and in high demand. • Sessions on “Becoming a mentor”. The database has been expanded with more than 100 mentors covering the diversity of the staff. • Workshop on “Alternative Career Pathways” <p>A new website has been designed to support the Research staff and beyond will all relevant information such as: Peer mentoring, Maternity, paternity and adoption mentoring, FAQs. https://sotonac.sharepoint.com/teams/Medicine-Mentoring A new scheme “Entrepreneurial Mentoring” will be piloted in Autumn 2020 with the aim to support the academic entrepreneurial potential of our ECR community.</p> <p>Each School in FoM has its own Research Club, led by a postdoc rep. These evidence the change that has been achieved and are ‘a real platform for ECRs to present their research, invite external speakers, to raise issues – ECRs use this for themselves and look forward to it’ said the Concordat Champion.</p> <p>FSS – The Faculty has a small ECR community (approx.60 staff) and a review meeting was held with School reps to discuss and collate ECR concerns. All research staff receive emails when relevant from RIS, Deanery, HoS, HoD. The Economics and Social and Political Sciences School has its own newsletter and regularly seeks contributions from researchers.</p> <p>Mentoring is a priority for the Concordat Champion in FSS, although since the restructure</p>
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				<p>Champion reports twice a year to FEG on progress – the Concordat became a standing agenda item in 2015. Strategic focus up to 2020 will be on the quality of appraisals (with guidance to PIs) and also on mentoring. This follows feedback from the research staff.</p> <p>-----</p> <p>75% reported, in CROS 2017, they were treated fairly in their ‘career progression/promotion’</p> <p>ii) CROS data 2017 showed that 65% reported they were keeping a record of their achievements. Meeting the target set in 2016.</p>	<p>this needs refocusing. However, the Politics & International Relations department have had a semi-formalised policy in place for a couple of years for mentoring - to make sure that ECRs have more than one mentor available to them.</p> <p>-----</p> <p>Whilst we will continue to encourage research staff to be pro-active in their professional development and career management, the metrics and deliverables cited here will not be as relevant to the new Concordat. So, this action is closed and will be addressed by the forthcoming gap analysis.</p>
	<p>5.2 We will continue to encourage researchers to participate in the full range of opportunities available in the University.</p> <p>Owned by: Faculties & CHEP</p> <p>Deliverables:</p> <p>i) Continued promotion of CV building activities leading to increased involvement in a range of</p>	<p>By May 2019, we will have maintained, or improved where possible, on the number of respondents to CROS 2015 who had engaged in the following:</p> <ul style="list-style-type: none"> - public engagement (43% in 2015) - external collaborations (43%) - teaching/lecturing (42%) - engagement with policy makers (25%) - had been mentored (25%) <p>Pilot teacher-training provision during 2017. By December</p>	<p>CHEP, Careers Service, CDR WG, RIS, PERu, PublicPolicy</p>	<p>On track</p> <p>i) We have seen an increase in involvement in CV building opportunities by researchers in the following areas:</p> <ul style="list-style-type: none"> - Public Engagement with Research unit provided a suite of workshops about aspects of Public Engagement – available to both PGRs and staff. In 2016-17, 44 Research only staff attended, including 14 ECRs (at level 4). In 2017-18 (to date) there have been 31 ‘research only’ staff attendances, of which 29 were ECRs. <p>CROS 2017 indicated that 50% of respondents had experienced Public Engagement.</p> <ul style="list-style-type: none"> - External collaborations continued, including KTPS (through RIS), the ICURE Programme and SET Squared 	<p>Action completed</p> <p>5.2.i – Research Staff have access to a wide range of information and opportunities. RIS produces a regular monthly RIS Newsletter which is emailed to faculty groups. Faculties issue targeted Funding mail shots. There is also a monthly University wide magazine, <i>Re:action</i>, on matters of interest to researchers. <i>Re:action</i> is published three times per year (roughly March, June and November). It is published online, and all issues can be found via the collection at the bottom of this page: https://www.southampton.ac.uk/research/ris.page It is sent to all researching staff and professional services (Readership for the edition currently is 428, with an average read time of 4 minutes and an 81% completion rate).</p> <p>We continue to provide research staff with a wide range of opportunities to enhance their CVs and to engage in a variety of activities from</p>

	<p>engagement and impact activities.</p> <p>ii) To support research staff with teaching responsibilities, we will pilot teacher-training provision suitable for research staff, supported with online materials, appropriate and available for use by Research Staff.</p>	<p>2018, online teaching-training materials will be available to 80% of research staff³. With VLE analytics confirming use of materials by research staff.</p>		<p>partnership. In 2016/17 4 ECRs (1 female & BAME) completed the ICURE programme and since the pilot in 2014/15, 38 jobs have been created. CROS 2017 indicated that 53% of respondents had experienced External Engagement.</p> <ul style="list-style-type: none"> - Teaching. CROS 2017 indicated that 52% of respondents had experienced teaching. - PublicPolicy@southampton have introduced training on how to engage with policy makers. CROS 2017 indicated that 25% of respondents had engaged with policy makers/end users. - LifeLab in 2016-17 held <i>Science communication training</i> for 72 research staff (of whom 48 were women). So far in 2017-18, they have provided <i>Science communication training</i> and also introduced <i>Safe guarding training</i>, for 41 and 19 research staff respectively, including 23 women. - CROS 2017 data indicated 23% had been mentored. This slight reduction may reflect the restructuring of provision in 2016-17. <p>ii) Due to the restructure of ILIaD/CHEP this action was delayed. However, a teacher training programme for research staff has been developed and will be piloted by December 2018.</p>	<p>Public Engagement, through Public Policy, LifeLab, SETSquared and ICURE. ICURE started as a pilot programme in late 2014 and has since become a national programme attracting applications from over 80 Universities in the UK – Southampton now makes up around 5% of the total applicants. During 17/18, ICURE received 5 applications from Southampton project teams, and in 18/19, 3 applications from Southampton project teams. Each team comprises an ECR who carries out market research with training and support.</p> <p>CROS 2019 data indicated that</p> <ul style="list-style-type: none"> • 44% have experienced Public Engagement • 45% have collaborated in research with businesses or other non-academic research users • 45% have undertaken teaching/lecturing • 26% have engaged with policy makers • 37% have acted as mentors <p>These data are all in line with our original goal of maintaining engagement.</p> <p>In 2020, CHEP appointed a Mentoring Champion to liaise with the Faculties and to provide specialist advice and support in mentoring across the University.</p> <p>5.2.ii - Teacher training – We created and piloted a new teaching module designed especially for</p>
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³ This is 100% of staff classed as ‘Academic Research’ in the HR database, and allowing for 20% variation in data and eligibility of staff (for teaching purposes).

					<p>Postdocs in two Faculties. A course for delivery via a blended learning process was developed between Feb and April 2019.</p> <p>Between May 2019 and January 2020 3 groups, a total of 58 participants, completed the PREP Preparation Course. Participants were from 4 Schools, 2 faculties. One participant was appointed to a Teaching Fellowship role in UCL which she attributed to her completion of the Preparation Course.</p> <p>FoM: There are specific teaching opportunities available to ECRs with relevant training. Courses are offered in:</p> <ul style="list-style-type: none"> • Supervise project students • Be part of the supervisory team for a PhD student • Small groups teaching (e.g. facilitation on the BM4 programme) • Marking and Assessments <p>https://sotonac.sharepoint.com/:u:/r/teams/FacultyofMedicine/SitePages/Postdoc-Teaching-and-Supervision-Op.aspx?csf=1&e=Sfrvhf</p> <p>These aspects have been re-emphasised in seminars such as “How to Become a Lecturer” organised by the Mentoring under the PDA umbrella.</p> <p>FSS - Quickbites is a programme of teaching focussed workshops from the Southampton Business School and open to all colleagues across FSS.</p>
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					<p>All staff have access to CHEP's educational workshops including:</p> <ul style="list-style-type: none"> • Academic Integrity • Building your Educational Portfolio • DARE to Embed Employability at the University of Southampton? • Examining the Doctoral Thesis • Maximising your Delivery • What works for effective curriculum design • Writing for Professional Recognition <p>-----</p> <p>Whilst we will continue to encourage research staff to participate in the full range of opportunities available in the University, the CROS metrics cited here will not be as relevant to the new Concordat. So, this action is closed and will be addressed by the forthcoming gap analysis.</p>
	<p>5.3 We will establish training and support resources for PIs, so they can empower their research staff.</p> <p>Owned by: Faculties, HR and CHEP</p> <p>Deliverables:</p> <p>i) Leadership and management training available to all PIs</p>	<p>By October 2020, PI training will be in place and available to 100% of eligible staff.</p> <p>The Leadership and Management Development Team to develop a number of development interventions to support line managers during 2016-17. This will continue through 17-18. Three priority interventions were identified for 16/17: Enabling Change, Maximising Contribution and Managing Underperformance all of which have been made</p>	<p>Faculties, HR and CHEP</p>	<p>In progress</p> <p>i) HR created a new Leadership and Management Development team. During 2016-17 the team established leadership and management training programmes on: Enabling Change, Managing Performance, and Managing Underperformance. In 2017, the team offered 41 instances of Enabling Change, 13 of Managing Underperformance and 23 Maximising Contribution; these were attended by a total of 330 academic staff. In the first quarter of 2018, 26 workshops had been offered with 82 academic staff attending.</p> <p>ii) The FNES pilot has been delayed due to strategic realignment.</p>	<p>To be carried forward</p> <p>5.3.i - The Leadership and Management Development Team continued to offer leadership and management training programmes in support of line managers. The programme includes:</p> <ul style="list-style-type: none"> • Appraising with Confidence • Enabling Change • Managing Underperformance • Maximising Contribution • Preparing for Promotion <p>In addition, all staff have access to a series of Professional Development Workshops:</p> <ul style="list-style-type: none"> • Personal Leadership

	<p>ii) Specific support available to all PIs</p>	<p>available to all line manager groups.</p> <p>The Faculty of Natural and Environmental Sciences (FNES) will design and deliver pilot PI training programme to support the appraisal process in 2016-17, and to share outcomes with other Faculties in 2018.</p>			<ul style="list-style-type: none"> • Optimising Your Time • Successful Communication • Working with Change • New Staff Induction <p>Leadership and Management team offered 9 courses in 2018 to 64 research staff; in 2019, 12 sessions to 94 research staff; and in 2020, offered 7 sessions to 41 research staff.</p> <p>5.3.ii –All PIs have access to Budget management training, and in FoM, PIs have access to mentoring training. This is an area we will need to address under the new Concordat.</p> <p>-----</p> <p>Training and support for PIs is a strong element in the new Concordat, so this action will need to be reviewed in the forthcoming gap analysis.</p>
<p>Principle 6 – On diversity and equality</p>	<p>6.1 We will extend Athena SWAN to all protected characteristics and across all Faculties.</p> <p>Owned by: University-E&D</p> <p>Deliverables:</p> <p>i) We will have achieved a Silver award – Athena SWAN (University KPI) and will extend the characteristics and</p>	<p>By December 2017, we will have achieved a Silver Athena SWAN award at University level.</p> <p>By December 2020, we will have achieved three more Silver Athena SWAN awards.</p> <p>By December 2018, we will have achieved at least two departmental bronze awards in the new areas of: arts, humanities, social sciences, and/or business and law subject areas.</p> <p>By June 2017 all eight Faculties will have developed an action</p>	<p>Diversity, Faculties</p>	<p>Exceeded</p> <p>i) We achieved a University Silver Athena SWAN award in 2017, and 4 departmental Silver SWAN awards, exceeding goals set in 2015. We also hold 5 departmental bronze awards. We plan to apply to for a University Gold award in 2019.</p> <p>Research staff have been involved with all Athena SWAN self-assessment teams.</p> <p>In May 2017 the BAME staff network was launched and joined the existing LGBT staff network, the Parent and Carers network, WISET and Theano.</p> <p>In March 2018, we signed the Race Equality Charter and we also became the first</p>	<p>Action completed</p> <p>6.1.i – We achieved a University Silver Athena SWAN award in 2017 but have not yet applied for the Gold award.</p> <p>We extended the Athena SWAN process to all Faculties. For example, most schools in FEPS hold an award i.e. the Zeplar Institute achieved a Bronze award in 2019; Physics & Astronomy a Silver award in 2017 + IoP Juno award; Chemistry a Silver award in 2017; Engineering Bronze award in 2015.</p> <p>Research staff have continued to be actively involved in the Athena SWAN self-assessment teams in all Faculties.</p> <p>Our networks continue to thrive i.e. BAME, LGBTQ, Parent and Carers, WISET and Theano. We remain signatories to the charters cited in</p>

	<p>processes to all non-STEMM areas.</p> <p>ii) We will ensure that there is a more formal integration between Athena SWAN and the CDRWG at Faculty and University level</p>	<p>plan and will establish a structure for delivering their equality and diversity priorities based on their plans.</p>		<p>University to achieve Disability Confident Leader status! These join recognition of the University as a Mindful Employer, as a Stonewall Diversity Champion, and Committed to being an Inclusive Employer.</p> <p>ii) The ED&I team and CDR WG are working closely together. This action plan has been aligned with the Athena SWAN plan. The ED&I Manager and Equality Charters Adviser sit on the CDR WG. The Chair of the CDR WG sits on the University ED&I committee (UEB), and the Researcher Developer reports to the ED&I chairs committee.</p> <p>Our internal data in 2018 indicated that 74% of staff had undertaken Equality and Diversity training.</p>	<p>2018, and in addition, we signed up to the Technicians Commitment in October 2018, which enhanced our list of ED&I commitments.</p> <p>Flexible working data was noted in action 1.4 above.</p> <p>6.1.ii – In October 2019, the UEB approved a new governance structure that synthesised all ED&I activities under a single Equality Charters Programme Board, supported by a new Equality Charters Coordination team. These developments build on an informal working group comprising the operational leads of all the institutional awards and charter, that met during 2019 and was led by the Director of HR Service Delivery. The creation of a University level governance structure is a major achievement and will determine the future strategic direction of all Charter marks. This more than meets our original goal in 2016 of integrating Athena SWAN and the Concordat more fully.</p> <p>We promote our equality charter awards and commitments to all prospective staff on our recruitment webpages.</p> <p>CROS 2019 data showed that 57% of respondents had undertaken training in equality and diversity – this was the highest scoring area of participation in training.</p> <p>-----</p> <p>We have been very active in this area and have made consistent progress in ED&I. So, this action is now closed.</p>
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	<p>6.2 We will undertake a review about how best to raise awareness and understanding of parental leave policies and the impact of parental leave across the researcher community (<i>proposed by Dr Lisa Gould, Senior Research Fellow</i>)</p> <p>Owned by: CDRWG and HR-E&D</p> <p>Deliverables:</p> <p>i) Improved understanding of policy application and greater levels of satisfaction reported.</p>	<p>By October 2017 a working group will be established with representatives from the Research community, CHEP, HR, ED&I and other professional services. Key issues and solutions identified.</p> <p>By October 2020, the Working as a Researcher website will contain/link to advice and guidance on carers, parental and maternity leave, supported by case studies and AskHR contact details for one to one advice. (in 2016, information remained limited)</p> <p>By May 2019, satisfaction levels with treatment of ‘pregnancy and maternity’ will be reported in CROS at a minimum of 85% positive responses. (from 80% on 2015)</p> <p>By October 2020, data on parental returners and the retention rate of researchers (particularly of women returners), will be included in annual report (see 7.3 below).</p>	<p>Diversity, Faculties, CHEP</p>	<p>On Track</p> <p>i) Dr Lisa Gould surveyed research staff in 2015/16 to identify the key issues. A working group was established in 2017 and has drafted changes. The Faculty of Medicine collected data on the impact of the maternity pay policy. The Parent and Carers network and the CDR WG have all worked with ED&I to promote this issue. We anticipate reporting improvements by 2020.</p> <p>CROS 2017 on fair treatment of ‘pregnancy and maternity’, respondents indicated an 88% agreement. Meeting and exceeding our target of 85%</p>	<p>To be carried forward</p> <p>6.2.i – In view of the problems surrounding parental leave, as identified by Dr Lisa Gould, we conducted a thorough review of the policies and their impact.</p> <p>A new Family policy, that includes maternity leave and directly addresses the requirements of research staff, has been drafted and is waiting for Union approval. This deliverable will be carried forward.</p> <p>2019 also saw the opening of a new family room on Highfield campus with breast feeding/expressing facilities and a place for pregnant women to rest. Other campuses already have similar facilities.</p> <p>CROS 2019 data showed 81% satisfied with ‘pregnancy and maternity’ treatment by the University, down on 2017 and missing our 2016 target.</p>
<p>Principle 7 – Stakeholders will undertake regular</p>	<p>7.1 Faculties will continue to develop, review and revise their own plans and consider including</p>	<p>May 2019 CROS data will confirm an increase in staff awareness of the plans, i.e. more than 63% as in 2015.</p>	<p>Concordat Champion</p>	<p>In progress</p> <p>i) All Faculties have produced local action plans and all Deans of Faculty received their CROS 2017 data, which Concordat Champions have also reviewed. Faculties were being restructured for August 2018, so</p>	<p>Action completed</p> <p>7.1.i – Faculties play a greater role in the distributed and collegiate model of implementing the Concordat and of supporting research staff. The 2018 restructure led to the appointment of a</p>

<p>reviews of progress</p>	<p>the requirements of the Concordat as part of the annual business planning rounds.</p> <p>Owned by: Dean/AD Res</p> <p>Deliverables:</p> <p>i) Faculty plans are 'live' documents and are reviewed and updated annually or as appropriate. Research staff knowledge of plans will be monitored.</p>	<p>Continued improvements/developments will be reported to the Research and Enterprise Advisory Group (REAG) by the Chair of the CDR WG. REAG comprises the Faculty Associate Deans of Research, who will also be able to contribute to the reporting. <i>Amended: REAG is now REEG (Research and Enterprise Group), and the CDR WG Chair now reports to the University Executive Board. The connection to REEG is maintained via Faculty Associate Deans. This will be revisited under the restructure.</i></p>		<p>some annual updating of plans has been delayed. The plans will need to be updated in the new structure and in view of the 10 year plan.</p> <p>For details of the Faculty plans, please see: http://www.southampton.ac.uk/waar/concordat/faculty-action-plans.page?</p> <p>CROS 2017 data showed the same level of awareness of Faculty plans as in 2015, i.e. 63%.</p>	<p>new team of Concordat Champions, who have continued the work began by their predecessors. For example, the newly appointed FSS Champion was previously an ECR rep and says one of her 'most important achievements was to initiate a realistic discussion on the improvement of the mentorship programme', which she will now be able to take forward as Concordat Champion. All new Champions received a general role description and four out of five had time allocated for the role of between 0.1 and 0.2 FTE.</p> <p>CROS 2019 data indicated a drop in knowledge of local plans, at 57%, which we attribute to the restructure.</p> <p>-----</p> <p>Concordat Champions with their Faculty research staff, PIs, Deans and Associate Deans will consider the new version of the Concordat and are, at the time of reporting, expected to conduct local gap analyses and to create their own actions plans aligned to the 2019 version of the Concordat and the University, ED&I and People strategies. So, this action is closed in its current form.</p>
	<p>7.2 We will continue to actively encourage feedback from research staff.</p> <p>Owned by: CDR WG</p> <p>Deliverables:</p>	<p>We will participate in CROS 2017 and 2019.</p> <p>During the period May 2016 – May 2020, there will be a growth in research staff participation and feedback via CROS (indicated by improved participation rate i.e. not less than 28%) and analytics on the WAAR website (see Action 1.1</p>	<p>CDR WG</p>	<p>On track</p> <p>i) CROS 2017, we had 28% response rate.</p> <p>We aim to report on WAAR analytics and research staff representation in the CDR WG (subject to restructures) in 2020.</p>	<p>Action completed</p> <p>7.2.i - We have consistently and continually taken feedback from research staff at all levels and in a variety of ways, including from:</p> <ul style="list-style-type: none"> - Research staff representatives in Concordat, Faculty/School, Athena SWAN and REF committees - Directly via Concordat Champions, and Careers, CHEP, RIS, PERU staff

	<p>i) We will continue to increase research staff representation and voice at Faculty and University level, via the CDR WG, and as evidenced in CROS/University data.</p>	<p>above), and greater research staff contribution to the CDR WG (see Meeting Notes and Action Points on the Concordat website).</p>			<ul style="list-style-type: none"> - Faculty meetings i.e. FEPS Concordat Launch event, FoM PDA has the Concordat as a standing agenda item of the Steering group, - The Career planning symposia in March 2019 was followed with small group discussions on research staff experience and needs. - Evaluation data from training courses and workshops - CROS and internal staff surveys i.e. in February 2020 all staff views were sought on the Simply Better strategy. - The VP R&E enjoys engaging with research staff and often holds informal meetings with them. <p>CROS 2019 response rate was 25% - this was lower than previous years and we suspect this is the result of the restructure in August 2018.</p> <p>-----</p> <p>Whilst we will continue to actively encourage research staff feedback and engagement under the new Concordat, the form this will take will be determined by the forthcoming gap analysis. We will carry forward the lesson learned that a variety of mechanisms and regular feedback are vital for ensuring the research staff voice is heard. This action is now closed.</p>
	<p>7.3 We will establish annual reviews and performance reporting.</p>	<p>Data requirements for monitoring purposes (outlined throughout this report) to be scoped in 2016, with automated HR reports (i.e.</p>	<p>CDR WG, HR, Careers Service, RIS, CHEP</p>	<p>On track</p> <p>i) The CDR WG has met 3 times a year in 2016, 2017 and 2018.</p> <p>ii) In 2018 a template for gathering data on the research staff profile was piloted with HR. A template for capturing Research Staff activity has been designed with ED&I, and piloted with:</p>	<p>To be carried forward</p> <p>7.3.i – The CDR WG was replaced by a Concordat Advisory Group (interim CAG) in October 2019. The latter group met in November 2019, January 2020 and June 2020.</p>

	<p>Owned by: PVC/VP Research</p> <p>Deliverables:</p> <p>i) The CDR WG to meet 3 times a year; taking reports from key University stakeholders and representatives.</p> <p>ii) CDR WG to compile an annual report on the research staff cohort, their profile and activities for the VP Research & Enterprise</p>	<p>Cognos reports) available in January 2017 on:</p> <ul style="list-style-type: none"> - Employment and retention rates - Promotion levels - Occurrences of flexible working - Numbers of employees on fixed term and permanent contracts - Completion of appraisal meetings <p>Data on research staff activities gathered annually (see 5.2 above) and included in report to VP R.</p> <p>The format of Annual performance report from the CDR WG will be agreed with the Vice-President Research (appointed in September 2016) by January 2017.</p>		<p>Careers Service, International Office, PERu, PublicPolicy, and LifeLab (see Action points 3.1, 4.2, and 5.2 above).</p> <p>The annual report to the VP R&E has been delayed due to the ILIaD-CHEP restructure and will be compiled by September 2018.</p>	<p>In addition, an informal Equality Charters working group met monthly during 2019 that reported to the ED&I committee chaired by the VC and comprising members of UEB. This informal group was officially replaced with an Equality Charters Programme Board and Equality Charters Coordination team from October 2019.</p> <p>7.3.ii – Whilst the CDR WG produced Meeting Notes and Action points, and its activity was regularly reported to UEB by the Chair, it did not produce an annual report as envisaged in 2016.</p> <p>However, one of the key aims of the Equality Charters Programme Board is to ‘Oversee the formulation of institutional equality charters action plans’ and to monitor these going forward. This action also anticipates the reporting requirements of the 2019 Concordat and will be carried forward by the Equality Charters Coordination Team.</p>
	<p>7.4 Achievement of the University strategy will underpin all decisions of the CDR WG. We will continue to ensure that all elements of this Concordat action plan align with the University strategy and 10 year plan, and with Faculty</p>	<p>By December 2016, THE University will establish a Concordat Steering Group to drive this action plan, monitor data and progress, and to report into REAG. The report will outline how the Concordat implementation support one or more of the University’s Strategic KPI’s.</p>	<p>CDR WG with Strategy & Planning</p>	<p>Delayed</p> <p>The CDR WG is an excellent group in terms of: representation from all of the key stakeholders in the University, for sharing best practice, for operationalising the principles of the Concordat, and implementing actions throughout the University. However, at a meeting in March 2017 with the VP R, Chair of the CDR WG, HR Directors and Researcher Developer, it was agreed that all activity needed stronger</p>	<p>Action completed</p> <p>7.4.i – The steering group has been instituted in the form of the Equality Charters Programme Board.</p> <p>The Board is chaired by Vice President Research & Enterprise and the Chair of the CAG is a member of the board.</p> <p>In October 2019, the UEB agreed revised governance arrangements for EDI in the University. This included a revised format for a</p>

	<p>strategies and plans, to support the achievement of the University's KPIs.</p> <p>Owned by: PVC/VP Research</p> <p>Deliverables:</p> <p>i) A steering group will be established to oversee the delivery of the objectives in the above plan.</p>	<p><i>Amended: To report to REEG and UEB</i></p>		<p>alignment with the 10 year plan and University's strategic goals. For this reason, a steering group with direct access to and responsibility for executive decisions, was considered most useful for providing oversight.</p> <p>i) The composition of the steering group was agreed in 2017, i.e. the VP Research, Chair of the People Plan workstream, and Chair of CDR WG, supported by the Researcher Developer – but has not had the opportunity to meet yet.</p>	<p>University ED&I Committee which, amongst its responsibilities will, "...govern the progress of institutional equality charters." "To make best use of resources, an Equality Charters Programme Board has been established, supported by a programme and project manager, and reporting into this Committee. The aim of the Equality Charters Programme Board is to ensure a coordinated and resource-efficient approach to supporting institutional submissions for Athena SWAN, Race Equality Charter, Concordat, Disability Confident, Technicians Commitment etc."</p> <p>This action is closed.</p>
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