

### PROGRESS UPDATES FOR 4-YEAR REVIEW 2017 – PREVIOUS ACTION PLAN(s)

The following action plan is based on the original gap analysis conducted in 2013 and associated actions organised according to Concordat Principle. At the 2-year review in 2015, the action plan was updated leaving all the original actions with some supplementary actions as noted in the 2-year review report. Its length is a major reason why the new action plan has been completely redesigned to avoid duplication.

Colour coding of action status is as follows:

**Action completed at 2-year review**

**Action in process at 2-year review that is now completed**

**Action that has been 'rolled-over' into the new action plan for 2017-2019 included in new 'Themes'**

**Action that has been discontinued or unachievable (with comment)**

As noted in the 4-year review report, there have been significant changes to the structure of the institution since May 2015. A number of departments and other organisational elements of the University have been renamed, merged, or disestablished. This affects the 'responsibilities' and labelling of the original action plan. For ease of comparison with the plans for 2013 and 2015, the existing labelling of responsibilities with departmental acronyms from 2013 and 2015 has been left intact here and the new names are used for the new action plan for 2017-2019. However, it should be noted, as below, that these changes are as follows:

**GRS** [Graduate Research School] is now **RIS** [Research & Innovation Services]. Researcher development functions sit within the **RIS** Researcher Development Team.

**LD** [Department for Learning Development] functions are now part of Academic Registry (Learning & Teaching Enhancement) and some functions previously undertaken by **DLD** are now done within Human Resources (Organisational Development).

**CS** (Careers Service) is now part of the Department of Academic Enterprise (DAE).

**HR** remains unchanged. Where 'HR' alone is used below this refers to the management functions and not to Organisational Development (OD).

| <b>The 7 Principles of the Concordat</b>   | <b>Evidence of current practice</b>  | <b>Action</b>  | <b>Timescale</b>   | <b>Responsibility</b> | <b>Action at 2-year review</b>   | <b>Action Status at 4-year review</b>   |
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| <b>Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.</b> |  |  |                    |                       |  |   |
| <b>1.1. Researchers are chosen primarily for their ability to advance research at an institution.</b>  | The University updated and launched a revised staff Recruitment and Selection Policy in September 2012 and all research posts are recruited to in line with this policy according to the best practice upon which it is based. | A review of the effectiveness of the policy will take place in 2015 and will include reflection on its operation in relation to research posts. HR to provide evidence of review and effect on research staff. | First quarter 2016 | HR                    | Recruitment and Selection Policy scheduled for review in accordance with timescale.<br><br>HR undertaking initial data analysis. | New policy delayed but reviewed in 2016. New University Resources and Business Management Strategy HR elements includes key objective "Establishing University as Employer of Choice which includes E&D Action Plan, Athena Swan accreditation, Extra Life Health and Wellbeing |

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|  |  |   |                    |    |   | Action Plans which will all feed into revised policy review.  |
| <b>1.2. Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.</b> | Roles and responsibilities of research posts are clearly defined using the University's standard job description. Roles are evaluated using the HERA job evaluation process and benchmark role descriptors and person specifications have been developed for generic roles at Research Assistant, Research Associate, Research Fellow and Research Lectureship Levels. | A review of the continued relevance and language used in the standard documents will be implemented in 2015 reflecting changes to the research environment at that time. HR to provide evidence of review and effect on research staff. | First quarter 2016 | HR | Recruitment and Selection policy scheduled for review in accordance with timescale.<br><br>Data from the 2015 Staff survey will be available at the end of the 2014/15 academic year. | New policy delayed but reviewed in 2016. New University Resources and Business Management Strategy HR elements includes key objective "Establishing University as Employer of Choice which includes E&D Action Plan, Athena Swan accreditation, Extra Life Health and Wellbeing Action Plans which will all feed into revised |

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|  |  | The University launched a web recruitment portal in the summer of 2013 to make application process easier for potential research applicants, particularly for those applying from overseas. Review implementation and uptake to provide evidence and effect on research recruitment. | Third quarter 2015<br><i>(timescale on this action amended from first quarter 2014)</i> | HR | HR to review implementation and uptake once a full year of recruitment data is available.                           | policy review.<br><br>E Recruitment System has been further enhanced to include basics for "e-shortlisting" |
| <b>1.3. Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason</b> | All fixed term appointments for research roles are advertised and subsequently managed in accordance with the University's Fixed Term Working policy which complies with the Fixed | The University is currently reviewing its Fixed Term Working Policy in light of recent legislative changes. HR to provide evidence of review   | Third quarter 2015<br><i>(timescale on this action amended from second</i>              | HR | Review of Fixed Term Working Policy is under consultation. Review of policy expected to be completed by April 2015. | Policy has been reviewed and is subject to negotiations with Trade Unions                                   |

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|  | Term Worker Regulations. Business justifiable reasons are required to be identified for all FTC posts including research.  | and effect on research staff.   | quarter 2014)      |       |  |   |
| <b>1.4. Recruitment and progression panels should reflect diversity as well as a range of experience and expertise. Members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested</b> | <p>The University runs a mandatory “Recruitment and Selection” Training Workshop which is facilitated by HR Managers and runs periodically throughout the academic year. All staff who are involved in the selection of any staff are required to attend the workshop before participating in any staff selection.</p> <p>As part of the University’s Recruitment and Selection Policy, recruitment and selection training is essential for all recruitment panel members and chairs. This includes providing feedback to unsuccessful candidates.</p> | <p>Implementation of refresher training for all panel members and chairs every 3 years or more frequently if there are changes to University policies.</p> <p>HR to provide evidence of implementation of refresher training and take up; and evaluation on research staff recruitment.</p> | Third quarter 2015 | HR/LD | <p>In-house online training module in development by HR for general recruitment /refresher training.</p> <p>As part of the launch of the revised Recruitment and Selection Policy the University has delivered updated training sessions for Chairs of interview panels. Chair’s training updates roll-out over summer 2014 and over Autumn term 2014 to Senior Management Team and delivered during SMT meetings. Updated Chairs documents produced. A new initiative is an</p> | <p>This was not implemented</p> <p>R&amp;S Training continues to be rolled out and specific “Chairs” Training one to ones arranged for new AD and SMT member recruited from major organisational change programmes across Schools and Department.</p> |

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|  | <p>Feedback responsibility and mechanisms are embedded in the new Recruitment and Selection policy and associated documents.</p> <p>Equality and diversity training is a compulsory component of new staff induction. All staff who recruit and select have taken this training.</p> |  |  |  | <p>additional training briefing for recruitment roles.</p> <p>Equality and diversity training now compulsory for all staff, as well as refresher training every 5 years and/or when there are changes to legislation. All staff who have not completed the training since January 2010 will attend a half-day workshop or complete the online 'Diversity in the Workplace' course.</p> | <p>Completed</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Status reviewed showing that action now embedded as standard practice.</p> |
| <p><b>1.5. The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the</b></p> | <p>Roles are evaluated using the HERA job evaluation process.</p>  |  |  |  |  | <p>Completed</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p>   |

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| <i>research organisation</i> |  |  |  |  |  | Status reviewed showing that action now embedded as standard practice. |
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| The 7 Principles of the Concordat   | Evidence of current practice   | Action   | Timescale                  | Responsibility | Progress towards two year interim review  | Action Status  |
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| <b>Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisations human resources and a key component of their overall strategy to develop and deliver world-class research</b>   |  |  |                            |                |   |  |
| <p><b>2.1. Employers are encouraged to value and afford equal treatment to all researchers. Employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems</b></p> | <p>The University has introduced an annual Vice Chancellors Staff Awards recognition programme “Celebrating Excellence and Service” which includes a category “Research Performance”. The scheme allows for peer nomination of research staff who have achieved excellence in their field.</p> <p>The University engages Capita Research to undertake a staff survey which seeks views about the University as an employer from all staff including contract</p> | <p>The University developed an action plan resulting from further detailed analysis of the November 2012 staff survey data including</p> | <p>Fourth quarter 2015</p> | <p>HR</p>      | <p>Working Group to revisit by end of 2015 to ensure any future concerns are considered and actions put in place if required.</p> | <p>Completed Vice Chancellors Staff Awards annually.</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Status reviewed showing that action now embedded as standard practice.</p> <p>Working group met to review the findings of the 2015</p> |



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|  | <p>Researchers. Feedback in the areas of Pay and Conditions, Quality of Working Life and Health, Safety and Wellbeing remain pleasingly high. <b>93% of staff say “The University is a good place to work” ranking Teesside as first from the 26 HEIs surveyed in 2012.</b></p> <p>An important element of the University’s staff development is mentoring of early-career staff.</p> | <p>analysis at job category level and a specific action plan relating to the feedback from Research staff. HR to provide evidence of review and effect on research staff.</p> <p>Mentoring of research staff specifically could be developed as a key action for improving support. DfLD/GRS to agree mentoring programme for research staff.</p> | <p>Fourth quarter 2015</p> | <p>LD/GRS</p> | <p>General mentoring programme is in delivery and research staff can participate as mentors/mentees.</p> | <p>survey. Updates to the Planning process 5 year and annual plans now include actions to address issues from Staff Survey at local level across all staff groups</p> <p>The General mentoring programme continues to operate across all staff levels within the University. Mentoring support is encouraged through induction and the initial and continuing</p> |
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|  |  | GRS to review facilitation of mentoring within the Research Institutes, ensuring consistency of approach and alignment with institutional mentoring programme available to all staff. This will be co-ordinated via the formal Research Institute sub-Committee (RISC) with a formal report made to the Working Group. | Third quarter 2016 | GRS |  | <p>development support available centrally and at local levels. The institutional formal mentoring system has 32 staff members participating as mentors</p> <p>Research Institutes are no longer a formal structure and are used for branding purposes only. RISC disestablished in July 2016.</p> <p>Action rolled over into new</p> |
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|  |  | <p>Mentoring for female STEM researchers incorporated in actions from Athena Swan action plan developed for Institutional Bronze award in 2014. Although, the Athena Swan application was not successful, work in this area is proceeding. In order to align Athena-Swan with the broader Concordat agenda, a member of the Athena-Swan working group will be added to the Concordat Working Group. Aim to achieve Bronze award by time of Concordat 4-year review.</p> | <p>First quarter 2017</p> | <p>SSE/TFI/GRS</p> |  | <p>structure, linked to new Research Strategy. (Themes B/C of new action plan)</p> <p>Bronze Award not achieved.</p> <p>New application in process, led by PVC. Rolled over into new Action plan.</p> |
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Teesside University – Action Plan 2013-2015; 2015-17 – Progress updates for 4-year review 2017

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|  | <p>The University offers support to contract researchers approaching the end of a fixed term project contract which will not be renewed through the operation of the Redeployment and Pay Protection Policy.</p> <p>CROS data indicates that 66.7% of research staff understand terms and conditions of employment 33.3% aware of terms and conditions but don't know the details; 33% have understanding of redundancy and redeployment; 66% aware but don't know the details.</p> | <p>The University is reviewing its Redeployment and Pay Protection Policy. HR to provide evidence of review and effect on research staff.</p> | <p>Third quarter 2015</p> <p><i>(timescale on this action amended from second quarter 2014)</i></p> | HR     | <p>Revised Redeployment and Pay Protection Policy under consultation. Review of policy expected to be completed by April/May 2015.</p> | Completed                                |
|  | <p>Researchers have access to the same learning and development and career</p>  | <p>Enhance the communication of the development</p>   | <p>First quarter 2015</p>   | LD/GRS | <p>Guide to learning and development support for researchers providing overview of</p>   | <p>Completed</p> <p>Review of status</p> |

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|  | <p>development opportunities as all other staff via HR and LD.</p> | <p>opportunities available to research staff. This should include a publication outlining the full range of opportunities and benefits available for researchers on fixed and permanent contracts, whether FT or PT. Publication and clear communication via website and other dissemination to be in place.</p> <p>GRS to conduct evaluation of the dissemination and use of information</p> | <p>First quarter 2017</p> | <p>GRS</p> | <p>training and opportunities across the university has been produced. This will be given to all new research staff at induction and is accessible to all staff via website.</p> <p>GRS welcome email sent to all new research staff also provides overview of training and support for research and links to further information.</p> <p>Research staff attendance at development events now consistently captured on records database.</p> | <p>to be undertaken in last quarter prior to 4 year review</p> <p>Staff consulted as part of the evaluation process reported positive feedback about information and guidance.</p> <p>66 staff across 20 induction sessions in period May-15 to May-17. 15% booked development activity directly subsequent to the induction.</p> <p>Elements of this action roll-over into Theme A in new action plan for further</p> |
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|  |  | <p>and guidance provided for researchers; feedback and evaluation of events with a formal report provided and monitoring data of attendance at development events provided to the Working Group.</p> |  |  |  | <p>enhancement.</p> <p>Staff consulted as part of the evaluation process reported positive feedback about information, guidance.</p> <p>The monthly TURN events have been very popular and well-attended with many events fully-booked. Average attendance is 50 per month.</p> <p>As an outcome of the evaluation and as an important part of</p> |
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|   |  |  |  |  |  | the implementation of the new Research Strategy, TURN events will be entirely focussed on staff development from Sept-17 and form part of the new action plan Theme C. |
| <b>2.2. Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in Regulations and Guidance on the use of fixed-term contracts</b> | The University monitors the cessation of Fixed Term contracts including those of contract researchers. A number of contract researchers have been moved onto permanent contracts on this basis. Employees who are “at risk” are given priority consideration for new vacant posts for a period of up to six months prior to the end of their contract. |  |  |  |  |  |

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|  | CROS data indicates that 74.1% of research staff have understanding of fixed-term contracts<br>25.9% aware but don't know details.  |   |   |         |   |           |
| <b>2.3. Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research</b> | <p>Initial and Continuing Leadership Development Framework sets out the leadership and management support available to all staff and includes tailored programmes of development for academics and professors.</p> <p>A collaborative research leadership programme has been developed collaboratively with Sunderland University and the Leadership Foundation and this programme will form part of the leadership support available to researchers in the future.</p> | <p>Following a successful pilot, this programme is rolled out to a second cohort. Further development and delivery to be explored over following years. Report on research staff participation to</p> | <p>Last quarter 2013; Follow up last quarter 2014 and last quarter 2015, and on annual basis thereafter</p> | DLD/GRS | <p>Second cohort (8 members of staff) successfully completed the programme in 2013-2014. Feedback from participants showed that the programme had been well received.</p> | Completed |



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| <p><i>managers in doing this</i></p> |  | <p>be produced for each programme delivered.</p> <p>The scope of the programme needs to be expanded to include a wider range of staff. Steps will be taken to ensure that the benefits of the programme are recognised by managers of research staff, especially the importance of making development a priority. Research Strategy for 2015-20 to be used in order to steer practice at local level. GRS to liaise with Staff Development in order</p> | <p>First quarter 2017</p> | <p>GRS/LD</p> | <p>Third cohort (9 members of staff) enrolled onto the 2014-15 programme in September 2014.</p> | <p>The programme is in its 5<sup>th</sup> year and continues to be successful, with highly positive feedback. Staff who have attended the programme have successfully achieved promotion or new roles. Staff have been drawn from all academic units with diverse experience and training needs.</p> |
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|  |  | <p>to ensure clear information about the programme for potential participants and to ensure senior staff buy-in. Report of attendance and range of attendees to be in place prior to 4-year review.</p> |  |  |  | <p>Evaluation continues to be strong.</p> <p>42 participants from Teesside across four cohorts: 20% have secured permanent more senior positions subsequently</p> <p>As part of the re-structure, the benefits of the LMRE programme are being used to achieve management goals within academic units. The programme will continue to be co-ordinated within RIS (RDT) in partnership with University of Sunderland.</p> |
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|   | CROS data indicates that 44.4% of research staff have an understanding of appraisal/performance; 37% aware but don't know detail.  |   |                    |    |  | As part of the new action plan, this strand of activity forms part of Theme B, the upper tier of the 'level indicators'. |
| <b>2.4. Organisational systems must be capable of supporting continuity of employment for researchers</b>   | The University's HR Development Programme including workshops on key HR processes are also available to all managers. Managers are encouraged to move staff on fixed term contracts to permanent contracts as employees reach four years' service. |   |                    |    |  |  |
| <b>2.5. Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally</b> | The University's draft reward and recognition statement sets out the benefits available to all staff at the University.  | Finalise statement and communicate to all staff. HR to confirm when circulated. | First quarter 2014 | HR | Reward and Recognition statement finalised and communicated to staff and given to all new members of staff at induction. Document accessible on Unity. | Completed<br>Review of status to be undertaken in last quarter prior to 4 year review<br>Review of staff                 |

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| <i>and locally. Pay progression will be in accordance with the Framework Agreement.</i> |  |  |  |  |  | benefits undertaken 2015/16 with proposal to launch promotional webpage to be in place 2017/18 |
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| <p><b>2.6. Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff</b></p> | <p>All staff participate in the annual Personal Development Review (PDR) scheme which includes the identification of annual and longer term priorities and development needs. A learning and development plan is also agreed.</p> <p>The Initial and Continuing Leadership Development Framework sets out the leadership and management support available to all staff and includes tailored programmes of development for academics and professors.</p> <p>The University's HR Development Programme including workshops on key HR processes are also available to all managers.</p> <p>Professorial Conferment</p> |  |  |  |  | <p>Revisions to the current PDR process are part of the institutional re-structure.</p> <p>The focus of the review is professional development planning and review (PDPR)</p> <p>PDPR forms part of the new action plan (Theme B).</p> |
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|  | <p>Committee terms of reference is available which shows criteria for advancement to senior levels.</p> <p>A collaborative research leadership programme has been developed collaboratively with Sunderland University and the Leadership Foundation and will form part of the support available to researchers in the future.</p> | <p>Following a successful pilot, this programme is was rolled out to a second cohort. Further development and delivery to be explored over following years. Report on research staff participation to be produced for each programme delivered</p> <p>The scope of the programme needs to be expanded to include a wider range of staff. Steps will be taken to ensure that the benefits of the programme are</p> | <p>Last quarter 2013; Follow up last quarter 2014 and last quarter 2015, and on annual basis thereafter</p> <p>First quarter 2017</p> | <p>DLD/GRS</p> <p>GRS/LD</p> | <p>Second cohort (8 members of staff) successfully completed the programme in 2013-2014. Feedback from participants showed that the programme had been well received. Third cohort (9 members of staff) enrolled onto the 2014-15 programme in September 2014.</p> | <p>Completed</p> <p>The programme is in its 5<sup>th</sup> year and continues to be successful, with highly positive feedback. Staff who have</p> |
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|  |  | <p>recognised by managers of research staff, especially the importance of making development a priority. Research Strategy for 2015-20 to be used in order to steer practice at local level. GRS to liaise with Staff Development in order to ensure clear information about the programme for potential participants and to ensure senior staff buy-in. Report of attendance and range of attendees to be in place prior to 4-year review.</p> |  |  |  | <p>attended the programme have successfully achieved promotion or new roles. Staff have been drawn from all academic units with diverse experience and training needs. Evaluation continues to be strong.</p> <p>42 participants from Teesside across four cohorts: 20% have secured permanent more senior positions subsequently</p> <p>As part of the re-structure, the benefits of the LMRE programme are</p> |
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|  |  |  |  |  |  | <p>being used to achieve management goals within academic units. The programme will continue to be co-ordinated within RIS (RDT) in partnership with University of Sunderland.</p> <p>As part of the new action plan, this strand of activity forms part of Theme B, the upper tier of the 'level indicators'.</p> |
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| <i>The 7 Principles of the Concordat</i>  | <i>Evidence of current practice</i>   | <i>Action</i>   | <i>Timescale</i>    | <i>Responsibility</i> | <i>Progress towards two year interim review</i>   | <i>Action Status</i>   |
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| <b><i>Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment</i></b>  |   |   |                     |                       |   |  |
| <b><i>3.1. It is imperative that researcher positions in the UK are attractive in themselves. This requires that they provide career development which is comparable to, and competitive with, other employment sectors</i></b> | The University was awarded Investors in People Gold status in December 2011 and career development opportunities for researchers are offered on the same basis as for all University staff.   |   | Fourth quarter 2014 | HR                    | The University first achieved Investors in People (IiP) recognition in 1999, gaining Bronze status in 2008 and Gold status first in 2011 and again in 2014. We are one of only three universities to have achieved Gold status for the second time. | Completed -<br>Review of status to be undertaken in last quarter prior to 4 year review<br>IiP Review now scheduled for AY 2017/18 |
|   | CROS data indicates that 51% of research staff have a clear career development plan; 48.1% do not have a clear plan.<br><br>All research staff review development needs and career aspirations during the annual Personal Development Review. | Ensure that all research staff are encouraged to use the RDF and to seek advice on career planning from the CS. GRS to monitor and produce report on RDF activity by researchers. | Third quarter 2014  | GRS/CS                | The University renewed membership of Vitae in Jan 2015. All Vitae materials are available to researchers with clear links hosted on the University's research support and development webpages. These   | Completed -<br>Review of status to be undertaken in last quarter prior to 4 year review<br>Vitae membership                        |

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|  |  |  |  |  | <p>pages include links to the RDF and training materials are linked to the RDF categories. Additionally the PDR process enables the use of RDF to discuss development and career options.</p> | <p>renewed.</p> <p>RDF used as part of research training delivery, ensuring researchers are aware of and familiar with the Vitae resources available.</p> <p>As part of new action plan, RDF to be key focus of Theme B. New web resources also key feature of new action plan, aligned with re-structured RIS (RDT) functions.</p> <p>Completed -</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> |
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|  | <p>Career Service presentation at induction outlines available guidance and support and signposts resources on Careers website.</p> |  |  |  | <p>CS attends induction to talk about support for researchers offered by the Careers Service. CS staff report that researchers approach the Careers Service for advice. Links to Career Service resources in research guide and on research webpages.</p> | <p>CS attends induction to talk about support for researchers offered by the Careers Service. Researchers self-refer to the Careers Service. Links to Career Service resources in research guide and on research webpages.</p> <p>Support available for two years after completion of qualification.</p> <p>Named Careers Advisers linked to each School (at least two per School).</p> <p>Referral guide</p> |
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| <b>3.2. The ability to move between different paths is key to a successful career. Organisational culture should support a broad-minded approach to researcher careers and that all career paths are valued equally</b> | The University's Initial and Continuing Professional Development Programme is available to all staff and offers a wide variety of learning and development activities<br>Individual career guidance is available to researchers. We recognise that the particular demands of |  |  |  |  |                        |

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|  | <p>research tends to result in researchers approaching the Careers Service towards the end, or after completion of their work. We consider it important that help continues to be available.</p> <p>The relationship between academic and Careers advisory staff promotes effective referral. Researchers are referred to the Careers Service and their managers are aware that they are supported in their informal advice.</p> |  |  |  |  |  |
| <p><b>3.3. Researchers need to develop transferable skills, delivered through embedded training. As well as the necessary training and appropriate skills, competencies and understanding researchers also need support to develop</b></p> | <p>The Graduate Research School provide tailored learning and development aimed specifically at research staff.</p> <p>Researchers, including those on fixed term contracts have access to the same learning and development and career</p>  |  |  |  |  |  |

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| <p><b>communication and other professional skills</b></p>  | <p>development opportunities as all other staff via the Department for Learning Development.<br/>Current provision includes time management; project management; team working; communication skills; valuing and respecting difference.</p>  |  |  |  |  |  |
| <p><b>3.4. All employers will wish to review how their staff can access professional, independent advice on career management and offer training and placements to broaden awareness of other fields and sectors</b></p> | <p>Advice is available to all staff from the University's Department for Learning Development.</p> <p>Each Careers Adviser in the Careers Service is responsible for developing links with specific academic Schools. The advisers are able to build a relationship staff and develop insights into the career options for each School ensuring that subject specific guidance is available to researchers.</p> <p>Researchers can request a formal mock-interview</p> |  |  |  |  |  |

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|  | with an adviser. This is recorded so that the interviewees, together with the advisers, can view and critically analyse their performance at interview.   |   |                    |        |  |   |
| <b>3.5. Employers should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies</b> | University's Personal Development Review (PDR) Process: All staff participate in the annual Personal Development Review (PDR) scheme which includes the identification of annual and longer term priorities and development needs. A learning and development plan is also agreed.<br><br>Career Service presentation at induction outlines available guidance and support and signposts resources on | Develop material for a designated Career Development for Researchers module. Post materials | First quarter 2015 | CS/GRS | The University renewed membership of Vitae in Jan 2015. All Vitae materials are available to | Revisions to the current PDR process are part of the institutional re-structure. The focus of the review is professional development planning and review (PDPR). PDPR forms part of the new action plan (Theme B).<br><br>Completed -<br>Review of status to be undertaken in |

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|  | <p>Careers website.</p> | <p>developed by Vitae, Prospects and in-house resources for the following topics:<br/>                     1) The Research Process<br/>                     2) An Academic Career<br/>                     3) Moving Outside Academia<br/>                     4) Career Paths of Researchers<br/>                     Website and portal to be active by deadline</p> |  |  | <p>researchers with clear links hosted on the University's research support and development webpages. These pages include links to the RDF and training materials are linked to the RDF categories.</p> | <p>last quarter prior to 4 year review</p> <p>Vitae membership renewed.</p> <p>RDF used as part of research training delivery, ensuring researchers are aware of and familiar with the Vitae resources available.</p> <p>Vitae's Employability Lens used by Advisers at induction events.</p> <p>During evaluation, staff consulted reported that diversity and availability</p> |
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|  | <p>The University's research strategy is incorporated within institutional plan which is available on the University website under the University mission and values. However, CROS data indicates that 48.1% of new research staff were not aware of TU's <b>research strategy</b>; 33.3% found this information useful when given</p> | <p>All new research staff to be given a copy of the institutional and research strategy enabling informed decisions. GRS to check HR records of new research staff and check against Induction meetings to ensure all staff are contacted.</p> | <p>First quarter 2017</p> | <p>GRS</p> | <p>The institutional plan and research strategy can be accessed on the research webpages and link is signposted in research training guide. Further links to Vitae material, Careers Service, job.ac.uk added to research webpages.</p> | <p>careers support were main priorities which informs development of this action as part of new action plan, Theme D.</p> <p>Completed -</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Research strategy key element of development of themes in new action plan and actions linked to staff development via research strategy.</p> |
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|  |  | <p>GRS to conduct evaluation of the dissemination and use of information and guidance provided for researchers; feedback and evaluation of events with a formal report provided and monitoring data of attendance at development events provided to the Working Group.</p> |  |  | <p>GRS welcome email to all new research staff to raise awareness of central support for research/training/event s includes link to research strategy, RDF material and Careers Service provision.</p> | <p>Completed -</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Staff consulted as part of the evaluation process reported positive feedback about information and guidance.</p> <p>66 staff across 20 induction sessions in period May-15 to May-17. 15% booked development activity directly subsequent to</p> |
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|  |   |  |                   |         |   | the induction.<br><br>Elements of this action roll-over into Theme A in new action plan for further enhancement.  |
| <b>3.6. Employers should provide a planned induction programme for researchers. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development</b> | As part of the University's induction process all University staff undertake a four or five stage induction, depending on the role (academic or non-academic)<br><br>Career Service presentation at induction outlines available guidance and support and signposts resources on Careers website. | Specific Induction stage for research staff should be introduced, replacing standard fifth stage (academic induction) if member of staff is solely conducting research. HR records of new research staff to ensure all staff receive tailored induction session. | Last quarter 2013 | GRS/DLD | GRS contact all new research staff through the welcome email and where appropriate, arrange one-to-one meetings to make researchers aware of support that is available.<br>GRS staff attends induction to answer questions.<br><br>Capture attendance records using staff development records in Unity. | Completed -<br><br>Review of status to be undertaken in last quarter prior to 4 year review<br><br>Academic induction is held monthly linked to regular HR records for new staff.<br><br>GRS staff attend academic induction in person to brief |

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|  |  |  |  |  |  | <p>new staff on support available, sign-posting to existing information and guidance resources and to make staff feel welcomed.</p> <p>66 staff across 20 induction sessions in period May-15 to May-17. 15% booked development activity directly subsequent to the induction.</p> <p>Additionally, research staff attending academic induction are supported by the Learning and Teaching Enhancement</p> |
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|  |  |                |               |     |  | <p>Section of Academic Registry, followed by the opportunity to attend New to Teaching workshop. They are also signposted to relevant learning and teaching CPD sessions.</p> <p>Completed -</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Staff consulted as part of the</p> |
|  |  | GRS to conduct | First quarter | GRS |  |  |

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|   |   | evaluation of the dissemination and use of information and guidance provided for researchers; feedback and evaluation of events with a formal report provided and monitoring data of attendance at development events provided to the Working Group. | 2017 |  |  | <p>evaluation process reported positive feedback about information and guidance.</p> <p>66 staff across 20 induction sessions in period May-15 to May-17. 15% booked development activity directly subsequent to the induction.</p> <p>Elements of this action roll-over into Theme A in new action plan for further enhancement.</p> |
| <b>3.7. Employers will wish to consider articulating the skills</b> | All staff participate in the annual Personal Development Review |  |      |  |  |   |

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| <p><i>that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills</i></p>  | <p>(PDR) scheme which includes the identification of annual and longer term priorities and development needs. A learning and development plan is also agreed.</p> <p>Researchers are encouraged to use the Researcher Development Framework (RDF) to reflect on skills and training needs.</p>          |  |   |                         |   |   |
| <p><b>3.8. Employers should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors</b></p> | <p>The University's Aspirations Mentoring Scheme is available to all staff.</p> <p>The relationship between academic and advisory staff promotes effective referral. Researchers are referred to the Careers Service and their managers are aware that they are supported in their informal advice.</p> | <p>Mentoring scheme under review, plans to establish a bank of mentors with particular areas of specialism. LD to report to GRS/URPC on progress establishing mentor bank to feed into GRS evaluation on research institute mentoring.</p> <p>The scope of the programme needs to be expanded to</p> | <p>First quarter 2017</p> <p>First quarter 2017</p> | <p>LD</p> <p>GRS/LD</p> | <p>Provision of enhanced mentoring scheme, which includes research mentors with particular areas of expertise, has been rolled out and is available to all staff including researchers.</p> | <p>Completed</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Evaluation indicates relatively small bank of mentors</p> |

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|  |  | <p>include a wider range of staff. Steps will be taken to ensure that the benefits of the programme are recognised by managers of research staff, especially the importance of making development a priority. Research Strategy for 2015-20 to be used in order to steer practice at local level. GRS to liaise with Staff Development in order to ensure clear information about the programme for potential participants and to ensure senior staff buy-in. Report of attendance and range of attendees to be in place prior to 4-year review.</p> |               |  |  | <p>but alignment with new Research Strategy will embed mentoring roles directly in staff responsibilities. The institutional formal mentoring system has 32 staff members participating as mentors.</p> <p>Forms of part of new action plan Theme C</p> |
|  |  | GRS to review  | Third quarter |  |  |   |



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|  |  | <p>facilitation of mentoring within the Research Institutes, ensuring consistency of approach and alignment with institutional mentoring programme available to all staff. This will be co-ordinated via the formal Research Institute sub-Committee (RISC) with a formal report made to the Working Group.</p> <p>Mentoring for female STEM researchers incorporated in actions from Athena Swan action plan developed for Institutional Bronze award in 2014. Although, the Athena Swan application was not successful, work in this area is proceeding. In order</p> | <p>2016</p> <p>Third quarter 2016</p> |  |  | <p>Research Institutes are no longer a formal structure and are used for branding purposes only. RISC disestablished in July 2016.</p> <p>Action rolled over into new structure, linked to new Research Strategy. (Themes B/C of new action plan)</p> <p>Bronze Award not achieved.</p> <p>New application in process, led by PVC. Rolled over into new</p> |
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|   |  | to align Athena-Swan with the broader Concordat agenda, a member of the Athena-Swan working group will be added to the Concordat Working Group. Aim to achieve Bronze award by time of Concordat 4-year review. |  |  |  | Action plan. |
| <b>3.9. Research managers should actively encourage researchers to undertake Continuing Professional Development activity</b> | <p>Identification of opportunities for CPD form a key part of the PDR process; CROS data indicates % of research staff that had spent number of days on CPD in the previous 12 months:</p> <p>30%: 10 days<br/>         10%: 6-10 days<br/>         40%: 3-5 days<br/>         10%: 1-2 days<br/>         10% : no CPD</p> |   |  |  |  |              |

| <b>The 7 Principles of the Concordat</b>   | <b>Evidence of current practice</b>  | <b>Action</b>   | <b>Timescale</b> | <b>Responsibility</b> | <b>Progress towards two year interim review</b>                           | <b>Action Status</b>          |
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| <b>Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career</b>  |  |   |                  |                       |   |                               |
| <b>4.1 Researchers should be empowered by having realistic understanding and information about their own career development and options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner</b> | The University's Initial and Continuing Professional Development Programme is available to all staff and offers a wide variety of learning and development activities including time management; project management; team working; communication skills; valuing and respecting difference. Use of Researcher Development Framework (RDF) in research training sessions and in Training Needs Analysis.<br><br>CROS data indicates that 57.7% of research staff would like more training | In response to CROS data, more work needs to be done to |                  | GRS/CS                | Variety of support already available through the learning and development | Completed<br>Review of status |

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|  | <p>on career management; 59.3% would like more training on leadership and management.</p> | <p>ensure that staff are able to access further career management training if they request such training. CS to report to GRS with details of training requested and participation by research staff.</p> <p>A collaborative research leadership programme has been developed with</p> | <p>Third quarter 2014</p> <p>Leadership programme to be delivered at</p> | <p>GRS/DLD</p> | <p>guide for researchers, signposted on website and welcome email.</p> <p>Second cohort (8 members of staff) successfully completed</p> | <p>to be undertaken in last quarter prior to 4 year review</p> <p>Staff consulted as part of the evaluation process reported positive feedback about information and guidance.</p> <p>66 staff across 20 induction sessions in period May-15 to May-17. 15% booked development activity directly subsequent to the induction.</p> <p>Elements of this action roll-over into Theme B in new action plan</p> |
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|  |  | <p>Sunderland University and this programme will form part of the leadership support available to researchers in the future. Report on research staff participation to be produced for each programme delivered.</p> <p>The scope of the programme needs to be expanded to include a wider range of staff. Steps will be taken to ensure that the benefits of the programme are recognised by managers of research staff, especially the importance of making development a priority. Research Strategy for 2015-20 to be used in order to steer practice at local</p> | <p>Teesside in October, November 2013; revisit last quarter 2014; last quarter 2015 for further development and delivery</p> <p>First quarter 2017.</p> | GRS/LD | <p>the programme in 2013-2014. Feedback from participants showed that the programme had been well received. Third cohort (9 members of staff) enrolled onto the 2014-15 programme in September 2014.</p> | <p>for further enhancement</p> <p>Completed</p> <p>The programme is in its 5<sup>th</sup> year and continues to be successful, with highly positive feedback. Staff who have attended the programme have successfully achieved promotion or new roles. Staff have been drawn from all academic units with diverse experience and training needs. Evaluation continues to be strong.</p> |
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|  |  | <p>level. GRS to liaise with Staff<br/>                 Development in order to ensure clear information about the programme for potential participants and to ensure senior staff buy-in. Report of attendance and range of attendees to be in place prior to 4-year review.</p> |  |  |  | <p>42 participants from Teesside across four cohorts: 20% have secured permanent more senior positions subsequently</p> <p>As part of the re-structure, the benefits of the LMRE programme are being used to achieve management goals within academic units. The programme will continue to be co-ordinated within RIS (RDT) in partnership with University of Sunderland.</p> <p>As part of the new action plan, this strand of</p> |
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|  |  |   |  |               |  | activity forms part of Theme B, the upper tier of the 'level indicators'.  |
|  | <p>Career Service presentation at induction outlines available guidance and support and signposts resources on Careers website.</p> <p>Researchers can currently access a general Careers module online, including streamed material on assessment centres, interviews and application techniques. All material from the university-wide programme of career development presentations and workshops is available.</p> | <p>Although the data from the DLHE survey is used regularly to inform guidance, there is scope for capturing more longitudinal data on the destinations of our researchers. It would be valuable to source case studies. CS to provide report on progress to GRS.</p> | <p>Third quarter 2015<br/><i>(timescale on this action amended from last quarter 2014)</i></p> | <p>CS/GRS</p> | <p>Formal mechanism has been introduced for CS to contact PGR students following completion using registry records. GRS to send CS annual list of contact details.</p> | <p>Working Group to review whether annual reporting provides quality of data required and revisit by first quarter of 2016 to determine whether further actions required.</p> <p>Working Group decided that this data is not</p> |

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|  |   | <p>Improve data to inform development activity provided to researchers about research careers outcomes.<br/>Resources to be expanded with increased dissemination activity aimed at research staff.</p> | Third quarter 2016  | CS/GRS |   | <p>easily obtained and as part of Concordat implementation it would be better to focus on internal needs analysis rather than destinations for which there are other data sources such as DLHE to draw on.</p> |
| <p><b>4.2 Developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations</b></p> | <p>The University's PGCE Learning &amp; Teaching in HE is available for all staff that have less than 3 years teaching experience on appointment. This forms part of the University's professional development framework for learning and teaching which is accredited by the HEA and offers a variety of routes to HEA Fellowship.</p> | <p>Include in e-learning module targeted resources on succeeding in recruitment and selection processes. Module to be available by deadline.</p>  | <p>First quarter 2016<br/>(<i>timescale on this action amended from first quarter 2015</i>)</p> | DLD/CS | <p>Signposted as part of existing provision. Link to Learning and Teaching resources included on research webpages but further development needed</p> | <p>Working Group to review whether resources sufficient and revisit by second quarter of 2016 to determine whether further actions required.</p> <p>Academic induction is held</p>                             |



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|  |  |  |  |  |  | <p>monthly linked to regular HR records for new staff.</p> <p>66 staff across 20 induction sessions in period May-15 to May-17. 15% booked development activity directly subsequent to the induction.</p> <p>Research staff attending academic induction are supported by the Learning and Teaching Enhancement Section of Academic Registry, followed by the opportunity to attend New to Teaching</p> |
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|   |   |  |  |  |  | workshop. They are also signposted to relevant learning and teaching CPD sessions.   |
| <b>4.3 Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided</b> | <p>Researcher-training for teaching and learning provided by DLD (twice annually).</p> <p>Now delivered by Learning and Teaching Enhancement Section of Academic Registry</p> |  |  |  | <p>Frequent workshop provision available to researchers.</p> | <p><b>Completed</b></p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Research staff who will be undertaking a teaching role are invited to academic induction with Learning and Teaching Enhancement Section of Academic Registry,</p> |

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|   |   |  |   |     |   | followed by a New to Teaching workshop. They are also signposted to relevant learning and teaching CPD sessions.   |
| <b>4.4 Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.</b> | <p>Researchers are represented on key research-related committees.</p> <p>CROS data indicates that 65% of research staff feel that they can participate in decision-making processes; 20% don't feel that they can participate.</p> | <p>Ways of improving representation and opportunities for input/feedback using research committees to be explored, perhaps using one year co-options; develop capacity for research staff input into enhancement activities. GRS to review committee constitutions and present plans for committee approval.</p> | <p>First quarter 2016 (<i>timescale on this action amended from first quarter 2015</i>)</p> | GRS | GRS to explore ECR membership of Research Policy Committee. | <p>Secretary of URPC to be consulted on membership terms. Working Group to recommend action to URPC and identify ECR for nomination. All University committees included in institutional re-structure.</p> |

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|  |   |  |  |  |  | <p>Most existing named committees disestablished.</p> <p>Constitutions for new committees include specified researcher (PGR and staff) membership.</p> <p>GRS co-opted research staff to UREIC rather than URPC. UREIC is continuing committee.</p> |
| <p><b>4.5 Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</b></p> | <p>The University's Aspirations Mentoring Scheme is available to all staff.</p> |  |  |  | <p>Enhanced mentoring scheme, which includes research mentors with particular areas of expertise, has been rolled out and is available to all staff.</p> | <p>Completed</p>  |

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|  |  | GRS to review facilitation of mentoring within the Research Institutes, ensuring consistency of approach and alignment with institutional mentoring programme available to all staff. This will be co-ordinated via the formal Research Institute sub-Committee (RISC) with a formal report made to the Working Group. | <i>Third quarter 2016</i> | GRS |  | <p>Research Institutes are no longer a formal structure and are used for branding purposes only. RISC disestablished in July 2016.</p> <p>Action rolled over into new structure, linked to new Research Strategy. (Themes B/C of new action plan)</p> |
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| <b>The 7 Principles of the Concordat</b>  | <b>Evidence of current practice</b>  | <b>Action</b>   | <b>Timescale</b>          | <b>Responsibility</b> | <b>Progress towards two year interim review</b>   | <b>Action Status</b>   |
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| <b>Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning</b> |  |   |                           |                       |   |  |
| <p><b>5.1. Researchers should exercise and develop increased capacity for independent, honest and critical thought throughout their careers</b></p>                         | <p>All staff participate in the annual Personal Development Review (PDR) scheme which includes the identification of annual and longer term priorities and development needs.</p> <p>CROS data indicates that 88.8% of research staff agree that they have good opportunities for training and development opportunities; 11.1% disagree.</p> <p>An important element of the University's staff development is coaching and mentoring of early-career staff.</p> | <p>Mentoring of research staff specifically could be developed as a key action for improving support. DfLD/GRS to agree mentoring programme for</p> | <p>First quarter 2017</p> | <p>DLD/GRS</p>        | <p>LD/GRS met to discuss implementation of enhanced mentoring scheme to include research active staff becoming mentors. General mentoring</p> | <p>Coaching and mentoring are included as part of the initial support available to staff as part of induction into</p> |

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|  |  | <p>research staff</p> <p>GRS to review facilitation of mentoring within the Research Institutes, ensuring consistency of approach and alignment with institutional mentoring programme available to all staff. This will be co-ordinated via the formal Research Institute sub-Committee (RISC) with a formal report made to the Working Group.</p> | <p>First quarter 2017</p> | <p>GRS</p>         | <p>programme is in delivery and research staff can participate as mentors/mentees. New action as below</p> | <p>the University which is promoted in the Initial and Continuing Development Staff Guide. The institutional formal mentoring system has 32 staff members participating as mentors</p> <p>Research Institutes are no longer a formal structure and are used for branding purposes only. RISC disestablished in July 2016.</p> |
|  |  | <p>Mentoring for female</p>   | <p>First quarter</p>      | <p>SSE/TFI/GRS</p> |  | <p>Action rolled</p>  |

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|  |   | STEM researchers incorporated in actions from Athena Swan action plan developed for Institutional Bronze award in 2014. Although, the Athena Swan application was not successful, work in this area is proceeding. In order to align Athena-Swan with the broader Concordat agenda, a member of the Athena-Swan working group will be added to the Concordat Working Group. Aim to achieve Bronze award by time of Concordat 4-year review. | 2017 |  |  | <p>over into new structure, linked to new Research Strategy. (Themes B/C of new action plan)</p> <p>Bronze Award not achieved.</p> <p>New application in process, led by PVC. Rolled over into new Action plan.</p> |
| <b>5.2. Researchers should develop their ability to transfer and exploit knowledge where appropriate and</b> | Research Institutes promote synergies between business engagement and research. Assistant Deans |   |      |  |  |   |



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| <p><b><i>facilitate its use in policy making and the commercialisation of research</i></b></p>  | <p>with responsibility for enterprise are remitted to ensure that business engagement activity is embedded within all activity. Training programmes in these areas are provided by DLD and Department for Academic Enterprise. Advice about specific elements of knowledge transfer and commercialisation is provided by the Department for Academic Enterprise.</p>                  |  |  |  |  |  |
| <p><b><i>5.3. Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner</i></b></p> | <p>A core central programme consisting of a generic ‘<i>Research Ethics in-Depth</i>’ course is supplemented by a series of workshops and seminars on research integrity, good conduct in research, and publication ethics. Staff delivering this training are specialists in the field, also conducting research and consultation in ethics and integrity issues. Research staff</p> |  |  |  |  |  |

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|  | make up approximately 25% of attendees on this course. Online training is also available.  |  |                    |       |   |   |
| <b>5.4. Researchers should be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position</b> | Researchers can currently access a general Careers module developed by Vitae online. This includes streamed material on assessment centres, interviews and application techniques. Additionally, all material from the university-wide programme of career development presentations and workshops is posted. Researchers can request a formal mock-interview with an adviser. This is recorded, so that the interviewees, together with the advisers, can view and critically analyse their performance at interview. | Include in e-learning module targeted resources on succeeding in recruitment and selection processes. Module to be available by deadline | First quarter 2015 | HR/CS | Signposted as part of existing provision. Link included to Learning and Teaching and Careers Services resources from research webpages. | <p><b>Completed</b></p> <p><b>Review of status to be undertaken in last quarter prior to 4 year review</b></p> <p>Careers Adviser analyse opportunities with Researchers to identify evidence of required skills, attributes and experience</p> |
| <b>5.5. Researchers should identify training needs and actively seek out opportunities</b>   | All staff participate in the annual Personal Development Review (PDR) scheme in which a  |  |                    |       |   | The University promotes a culture of  |

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| <p><b>for learning and development.<br/>Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers</b></p> | <p>learning and development plan is agreed.</p> |  |  |  |  | <p>identifying and discussing CPD on both a formal (PDR) and informal process (one to one meetings) throughout the AY. Revisions to the current PDR process are planned with the focus of the review being on professional development planning and review (PDPR) including specific reference to RDF</p> |
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| <p><b>5.6. Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated</b></p> | <p>Career Service presentation at induction outlines available guidance and support and signposts resources on Careers website. All staff participate in the annual Personal Development Review (PDR) scheme which includes the identification of annual and longer term priorities and development needs.</p> |  |  |  |  |  |
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| <i>The 7 Principles of the Concordat</i>   | <i>Evidence of current practice</i>  | <i>Action</i>   | <i>Timescale</i>  | <i>Responsibility</i> | <i>Progress towards two year interim review</i>   | <i>Action Status</i>  |
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| <b>Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers</b>   |  |   |   |                       |   |   |
| <p><b>6.1. Public bodies must take positive steps to promote equality, based on evidence and priorities, and address specific issues of underrepresentation or lack of progression</b></p> | <p>The University holds the following accreditations:</p> <ol style="list-style-type: none"> <li>1) Positive About Disabled People (Two Ticks)</li> <li>2) Stonewall</li> <li>3) Mindful Employer</li> </ol> <p>Equality and diversity training is a compulsory component of new staff induction.</p> <p>The University has published a Statement of Values which includes diversity and equality values: “The University encourages and embraces diversity, equality of access, esteem and opportunity and actively opposes and eradicates prejudice”; Publication of Equality objectives in accordance</p> | <p>Monitoring of actions against the plan 2013 and beyond. HR to provide evidence of review and effect on research staff.</p> <p>Further analysis of this overall headline result will be undertaken in</p> | <p>First quarter 2014; first quarter 2015; first quarter 2016</p> | <p>HR</p>             | <p>Analysis of staff surveys not possible at job category level in departments where confidentially will be compromised due limited staff numbers, but overall % scores for equality and diversity can be obtained.</p> | <p>Working Group revisited by end of 2015. HR provide input to the group.</p> <p>Theme E in new action plan develops specific</p> |

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|  | <p>with Equality Act 2010 Teesside’s Capita Staff Survey results indicate 94% of staff are aware of Equal Opportunities Policy; 97% are satisfied with level of awareness of E&amp;D issues</p> <p>CROS data indicates that 95.3% of research staff agree that the University is committed to E&amp;D; 4.7% disagree. Gender balance of survey respondents: 61.5% Female; 38.5% Male; 51.9% found training and information on equality-diversity useful.</p> | <p>relation to Research staff as a group and relevant actions identified. HR to provide evidence of review and effect on research staff.</p> | <p>Last quarter 2014</p> |  | <p>2012 staff survey and 2015 staff survey have raised no concerns in relation to this action.</p> | <p>feedback action.</p> |
| <p><b>6.2. Recruitment and retention of researchers from the widest pool of available talent</b></p> | <p>All research posts are advertised widely; equality &amp; diversity policy explicitly referred to in recruitment process, including advertising and other recruitment documents.</p>   |  |                          |  |  |                         |

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| <p><b>6.3. All members of the UK research community should actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others</b></p> | <p>The Careers Service has to provide evidence of the impartiality of its advice through the Matrix inspection framework. The approach is client centred and committed to exploring the widest range of options and alternatives. Resources are maintained both in the library and on the website to promote diversity and equality. On line E&amp;D Training has already been introduced. Delivery of a mentoring programme, <i>DiversiTees</i></p> | <p>The University is developing a recommended E&amp;D Training Matrix for all staff categories including Research. Matrix to be ready for use by deadline.</p> | <p>Second quarter 2015 (This action achieved earlier than original timescale of last quarter 2015)</p> | <p>HR/DLD</p> | <p>E&amp;D Training Matrix completed and will support roll out of the matrix.</p> | <p>Completed<br/>Review of status to be undertaken in last quarter prior to 4 year review<br/>Status reviewed showing that action now embedded as standard practice.</p> |
| <p><b>6.4. Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Working conditions should allow both</b></p>                | <p>Flexible Working Policy is under review and is open to all staff beyond current legislation and in accordance with planned 2015 legislation</p>   | <p>Introduction of a revised Flexible Working Policy. HR to provide evidence of review and effect on research staff.</p>                                       | <p>Fourth quarter 2015</p>   | <p>HR</p>     | <p>Review of Flexible Working Policy is under consultation.</p>                   | <p>Revised Flexible Working Policy agreed in 2016. Formal monitoring of FW applications introduced in 2016</p>   |

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| <p><b>female and male researchers to combine family and work, children and career</b></p>                  | <p>Maternity, Paternity and Shared Parental Leave policies are all in place</p>   | <p>Specific review on Shared Parental Leave in line with proposed legislative changes in April 2015. HR to provide evidence of review and effect on research staff.</p> | <p>Fourth quarter 2015</p>   | <p>HR</p> | <p>Review on Shared Parental Leave Policy scheduled for review in accordance with timescale.</p> | <p>Revised Policy in Place however zero take up of Shared Parental Leave option across entire University staff population.</p> |
| <p><b>6.5. It is important for employers to respond flexibly to requests for changed work patterns</b></p> | <p>Flexible Working Policy is under review and is open to all staff beyond current legislation and in accordance with planned 2015 legislation. CROS data indicates that 77.7% of research staff agree that requests for flexible working are met; 11.1% disagree</p> | <p>Introduction of a revised Flexible Working Policy. HR to provide evidence of review and effect on research staff.</p>  | <p>Fourth quarter 2015<br/><i>(timescale on this action amended from third quarter 2014)</i></p> | <p>HR</p> | <p>Review of Flexible Working Policy is under consultation.</p>                                  | <p>Revised Flexible Working Policy agreed in 2016. Formal monitoring of FW applications introduced in 2016</p>                 |
| <p><b>[6.6 applies only to funding bodies]</b></p>   |   |   |  |           |  |  |



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| <p><b>6.7. Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees.</b></p> | <p>Teesside's Capita Staff Survey results indicate that 89% of staff believe the University is committed to equality of opportunity for all staff</p> <p>Current gender balance in senior research posts:</p> <p>Readers: 28.57% women<br/>Professors: 32.5% women</p> <p>The Careers Service provides evidence of the impartiality of its advice through the Matrix inspection framework.</p> |  |  |  |  | <p>A staff survey has recently been conducted March 2017 with the results expected May 2017. Data sets will be developed and available for consideration in due course</p> <p>CS no longer have Matrix following decision find an alternative framework. Since re-structure, focus is on an alternative that has an employer focused</p> |
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|  |   |  |                    |    |  | standard. Discussions in process re this   |
| <b>6.8. Account should be taken of the personal circumstances of groups of researchers. Employers should change policies or practices that directly or indirectly disadvantage such groups</b>   | <p>Teesside's Capita Staff Survey results indicate that 96% feel the University acts fairly, regardless of Protected Characteristics</p> <p>Delivery of a mentoring programme, <i>DiversiTees</i></p>   |  |                    |    |  | <p>A staff survey has recently been conducted March 2017 with the results expected May 2017. Data sets will be developed and available for consideration in due course</p> |
| <b>6.9. All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties</b> | <p>Harassment Policy is in final stages of review and programme of development for a group of volunteer Harassment Advisers is underway. Capita Staff Survey results indicate only 7% of staff feel discriminated against at work (down from 10% in 2009 – benchmark 10%). Capita</p> | <p>Implementation of Harassment Policy and training programme for line managers developed' Further monitoring of perceptions of discrimination via next Capita Staff Survey; Further monitoring of</p> | First quarter 2015 | HR | <p>Harassment Policy is in place. Training programme for Harassment advisors has been rolled out</p> | <p>Completed</p> <p>Review of status to be undertaken in last quarter prior to 4 year review</p> <p>Status reviewed</p>  |

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|  | Survey indicates only 4% of staff feel harassed or bullied at work (down from 6% in 2009 – benchmark 6%)  | perceptions of harassment and bullying via next Capita Staff Survey. HR to provide evidence of review and effect on research staff.   |                    |             |  | showing that action now embedded as standard practice.  |
| <b>6.10. Employers should consider participation in schemes such as the Athena SWAN Charter or the Juno Project and other initiatives aimed at promoting diversity in research careers</b> | Initial exploration of participation in Athena SWAN has been conducted by senior management in School of Science and Engineering/Technology Future Institute. | School of Science and Engineering/Technology Futures Institute to apply for Athena Swan accreditation. Accreditation to be in place by deadline.<br><br>Mentoring for female STEM researchers incorporated in actions from Athena Swan action plan developed for Institutional Bronze award in 2014. Although, the Athena Swan application was not successful, work in this area is proceeding. In order to align Athena-Swan | First quarter 2017 | SSE/TFI/GRS |  | Bronze Award not achieved.<br><br>New application in process, led by PVC. Rolled over into new Action plan. |

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|  |  | with the broader Concordat agenda, a member of the Athena-Swan working group will be added to the Concordat Working Group. Aim to achieve Bronze award by time of Concordat 4-year review. |  |  |  |  |
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| <b><i>The 7 Principles of the Concordat</i></b>   | <b><i>Evidence of current practice</i></b>   | <b><i>Action</i></b>  | <b><i>Timescale</i></b> | <b><i>Responsibility</i></b> | <b><i>Progress towards two year interim review</i></b>  | <b><i>Action Status</i></b>  |
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| <b><i>Principle 7:</i></b><br><b><i>The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK</i></b> |  |   |                         |                              |   |  |
|   | GRS staff are active in national and international networks supporting researcher development, including Vitae (regional steering group Yorkshire and North-East) staying abreast of policy changes and sharing good practice.<br><br>Researchers using the Careers Service have the | GRS staff to encourage further research staff engagement with Vitae events and through resources: review attendance, participation and events via regular report to URPC via GRS on annual basis. | Third quarter 2016      | GRS                          | Vitae subscription in Jan 2015. Links to RDF and other Vitae support material on the research webpages.<br><br>Training events to emphasise Vitae resources more clearly and ensure researchers are referred to web pages (links to Vitae resources are provided on the web pages). Staff to 'signpost' staff more clearly. | Vitae membership renewed<br><br>All researchers invited to consultation on Concordat and more keenly involved in the present process than in 2013. |

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|  | <p>opportunity to evaluate all Careers Service activities – guidance interviews, taught sessions, mock interviews, psychometric testing and events. The data is collated and reviewed on a monthly basis. We respond to suggestions for changes in the feedback section of the Careers Service website. Additionally focus groups are used to gather views on specific initiatives.</p> |  |  |  |  | <p>Vitae resources distributed via webpages and hard copy.</p> |
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