

**SHEFFIELD HALLAM UNIVERSITY CONCORDAT ACTION PLAN - PROGRESS AGAINST v3.0 (JAN 2017 - JAN 2019)**

**RECRUITMENT AND SELECTION**

<b>Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research</b>			
<b>Action</b>	<b>Lead</b>	<b>Status</b>	<b>Original success measures and progress</b>
<b>1.1. Management Information</b>			
1.1.1.	Receive an annual management information report on starters, leavers and career progression. To include all academic and research posts analysed by captured protected characteristics, and details of staff on re-deployment. RCSC will examine these data annually and devise actions as appropriate to RCSC's remit to ensure that our Concordat initiatives are meeting the needs of a changing staffing profile.	HROD	Alternative approach in new plan
			<p>Following a comprehensive review of University governance structures and the associated groups and committees, monitoring of management information on staffing in relation to protected characteristics now falls under the University's equality monitoring processes and structures.</p> <p>The Gender Equality Steering Group has oversight of our Athena Swan and related work, and these data form part of that review. As part of that work, actions are in place to understand barriers to career progression and reasons for staff leaving.</p> <p>Additionally, overlapping membership of the groups allows two-way information sharing between the groups.</p> <p>An additional challenge with our core staff data is that it is difficult to identify from the data which academic staff are research active. Improvements to our data and reporting to</p>

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				allow us to identify staff with significant responsibility for research will be taken forward in our new action plan.
1.1.2.	Analyse exit questionnaire data to identify potential areas for development initiatives linked to reasons for leaving.			The exit interview process has been revised in this period to include more detailed and informative reasons for staff departure. There is currently insufficient data to enable us to analyse reasons at a University level, but this will continue to be monitored in the new plan.
1.1.3.	Monitor number of applications and success rate across Faculties for Academic Progression to Reader and Academic Appointment to Professor.	HROD with Professoriate Committee		We introduced a new Academic Careers Framework in 2018, which clarifies expectations of staff at different levels. A consistent approach to academic progression / promotion is being developed in line with the ACF to ensure equality of opportunity across the University (action 2.1.1 in the 2019-21 action plan).
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• More effective recruitment and promotion practice underpinned by equality and diversity values.</li> <li>• Higher retention of staff through addressing issues raised by leavers.</li> <li>• Better targeted development initiatives as a result of having an evidence-base for planning.</li> </ul>				
<p><b>1.2. Recruitment Practice</b></p>				
1.2.1.	Review recruitment guidance and support to i) ensure appropriate prioritisation of research-active criteria during recruitment and selection of academic	HROD (with Chairs of	Partially completed and ongoing	The academic recruitment guidance specifies the inclusion of research and scholarly activity criteria but is not explicit about research-active

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	<p>staff, dependent on the post and the discipline, and ii) encourage research-active staff members on all academic recruitment panels.</p>	<p>panels)</p>	<p>in new plan</p>	<p>members of all academic recruitment panels. A process for checking this happens is included in the new plan.</p> <p>Since April 2018 all staff who chair selection activity must first complete mandatory University "Chairs of Panels - Recruitment and Selection" training. Over 540 staff have attended this training so far and feedback has been positive.</p>
<p>1.2.2.</p>	<p>The University will continue to ensure that the Recruitment &amp; Selection training has a focus on Equality &amp; Diversity and Unconscious Bias. All members of recruitment panels will be asked to complete the Unconscious Bias E-Learning module and a checkbox will be added to the chairs report to confirm this for all panel members. All new members of staff will be asked to complete the Unconscious Bias module and the Equality &amp; Diversity module as part of induction.</p>	<p>HROD (aligned to Athena SWAN SAT)</p>	<p>Completed</p>	<p>All staff are required to complete e-learning modules in Equality and Diversity and Unconscious Bias which were introduced in June 2018. All managers and chairs of recruitment panels are also required to complete an additional unconscious bias module. Completion is monitored via the online platform and a checkbox has been added to the PDR form. To date, 1956 (40%) members of staff have completed the Equality Essentials module, 2265 (46%) have completed Unconscious Bias 1 and 1199 have completed Unconscious Bias 2.</p> <p>All chairs of recruitment panels now must attend a development workshop before chairing and go through an Equality, Diversity and Inclusion statement with all their panel members. 577 staff have attended this training so far.</p>

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### Benefits

- Research-active staff in the academic staff pool will increase, benefiting both the teaching and research agenda and enhancing research-informed teaching.
- Unconscious bias awareness will increase within the academic staff, promoting improved E&D practice.

### RECOGNITION AND VALUE

**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**

Action	Lead	Status	Original success measures and progress
<b>2.1. Communications and Feedback</b>			
2.1.1.	HROD	Ongoing and taken forward in new plan	Guidance on academic progression is available on the HROD webpages. The number of applications for Reader and Professor have increased slightly over the past two years with a corresponding increase in success rate for Professors (64% of 14 applications in 16/17 to 67% of 18 in 17/18) and a reduction in success rate for Readers (50% of 24 in 16/17 to 43% of 28 in 17/18).  The Academic Careers Framework was launched in June 2018 setting out clear expectations of staff at each grade. 140
2.1.2.			
			Develop a range of case studies for the web pages that reflect staff diversity and different routes for progression to give a sense of how this can be achieved. These will be collected by alerting people who are making progression decisions (e.g. Faculty

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	Assistant Dean - Research) to identify good candidates for case studies.			<p>academic staff have attended introductory sessions on the ACF and it has been included in the research staff induction (December 2018) and ECR forum events (Jan 2019). Members of RCOG including the Chair and an ECR rep fed into the development of the ACF.</p> <p>Case studies for each academic level will be taken forward in the new plan.</p> <p>Positive responses to CROS Q10d around opportunities for promotion and progression has increased to 42% in 2017 (target &gt;30%).</p>
2.1.3.	Undertake the 2017 Employee Opinion Survey (EOS) to measure progress in enhancing the career satisfaction of the University's Research staff category and use the outcomes of the survey to identify new priorities for action. Explore the introduction of an additional survey question to help identify responses from academics who are research-active (but not necessarily based in a research centre or on a research-only contract).	HROD	Partially completed and taken forward in new plan.	CROS and PIRLS ran in 2017 and EOS was postponed to 2019. The response rates for CROS and PIRLS were higher than in 2015 but still quite low at 31% and 26% respectively, thus limiting confidence in the applicability of the results across all researchers. We exceeded our target number of responses set out in the action plan 106 CROS (target >60), 60 PIRLS (target >40).
2.1.4.	Undertake CROS 2017 and PIRLS 2017 to measure progress in enhancing the career satisfaction of the University's researchers and identify new priorities for action.	RIO, RCOG		<p>Agreement with the statement that SHU is an attractive place to progress a research career was 55% for PIRLS respondents (a decrease from 61% in 2015) and 62% for CROS respondents (an increase from 57% in 2015).</p> <p>Recommendations from CROS and PIRLS were reported to CKB and adopted into our new action plan. The surveys took place before the launch of the new strategy and associated implementation plan including new investment and the landscape has significantly changed so</p>
2.1.5.	Encourage an increased number of responses in surveys, specifically CROS and PIRLS, to ensure data is representative via targeted promotion to relevant groups and individuals.			

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				<p>this will be assessed going forwards by staff surveys in 2019.</p>
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Clear signposting of, and feedback on, routes to researcher career progression.</li> <li>• To generate comparative data that will give a strong indication of progress to date, and emerging areas to prioritise.</li> <li>• Indication of the quality and vitality of the research environment and identify areas for action/improvement.</li> </ul>				
<p><b>2.2. Management and appraisals</b></p>				
2.2.1.	<p>Provide support and guidance to help managers understand their responsibilities for the management of researchers, as set out in the statement of expectations, through specific direct communication to the managers and training as appropriate.</p>	<p>HROD (with RIO)</p>	<p>Completed</p>	<p>Appraisal completion rates across all staff groups were previously so high (&gt;98%) that they are no longer monitored centrally. CROS and PIRLS respondents reported them as 85% and 95% respectively in 2017.</p> <p><a href="#">The guidance for PDR reviewers</a> includes specific mention of research objectives. This is part of a new toolkit to support PDR.</p>
2.2.2.	<p>Feed into a wider University project on enhancing the quality of academic appraisal by focussing on i) supplementary guidance for appraisers with research and impact prompts and advice on encouraging the use of the RDF/RDF Planner and ii) a requirement for research and CPD plans, with monitoring of progress against targets, specifically publication strategies.</p>		<p>Partially completed and ongoing in new plan</p>	<p>The ACF supports the PDR process. The indicators of achievement in the ACF indicate the expectations at each grade. It is designed to help agree objectives and reflect on current contribution, development and career ambitions and plans as part of the PDR process.</p> <p>The appraisal guidance has been refreshed and there is a link to supplementary prompts research staff on the Creating Knowledge page</p>

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				of the <a href="#">PDR toolkit</a> The original success measure referred to CROS and PIRLS survey questions. Usefulness of appraisal decreased for both CROS and PIRLS but this doesn't reflect the new academic appraisal (PDR) introduced in Summer 2017; this will be assessed going forwards.
2.2.3.	Encourage managers and staff to utilise the appraisal guidance and toolkit. Specific communication will take place to managers and staff, and workshops will be available prior to appraisals taking place.			PDR training has been delivered and there is extensive information for both reviewers and reviewees on the PDR toolkit, put together with input from academic staff.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>Enhanced quality of appraisals to meet researcher needs, leading to targeted CPD activity of staff and increased uptake of CPD across SHU academics.</li> <li>Increased job satisfaction due to line manager support via appraisal.</li> </ul>				
<p><b>2.3. Research Assessment and Recognition</b></p>				
2.3.1.	Encourage <b>all</b> research-active staff to engage with the University's regular assessment of research (mini-REF) as a developmental exercise to get feedback on the quality of research outputs and future publication strategies.	RIO (with UoA Coordinators and Assistant Deans Research)	Completed	2.3.1. Increased volume of mini-REF 2017 submissions 567 (509 in 2015) with no drop in quality of outputs. 2.3.2. Constructive 1:1 feedback provided to all submitting staff on quality of outputs and publication strategy by UoA coordinators. In some areas, ECR staff were involved in the internal review process to raise understanding
2.3.2.	Monitor the delivery of the "people" aspects of REF 2014 UoA strategies, which cover training and			

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	development of researchers and succession planning through the submission of narratives and metrics to the University's mini-REF.			of the star ratings system.
2.3.3.	Monitor the introduction of new research policies and associated guidance aimed at raising research quality (Peer Support, 2016 and Publication Strategy Guidance, 2016) through grant success rates and mini-REF output quality.			<p>2.3.3. Record value of grants awarded in 2016-17 with £4.2m of awards compared with £2.8m the previous year. This was further increased in 2017-18 with £4.8 million grant awards.</p> <p>Grant applications have increased from 262 in 2016-17 to 287 in 2017-18. A significant number of applications have been large scale bids (&gt;£1 M) including strategic expansion of research units (x3), Doctoral Collaborative Training (x3) and a renewed focus on fellowships (x10). Submitted income has increased from £44 million to £94 million indicative of the scale of change. A strategic bids group has been established and peer review for strategic bids has improved oversight and quality assurance.</p> <p>Targeted intervention programme for ECRs in one of the faculties (STA) established.</p>
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Identify the support and development needs of staff to maximise their potential through the publication of research outputs and the development of research impact.</li> <li>• Provides focus for researchers within a UoA including a single point of contact and advice via the UoA Coordinator.</li> <li>• An indication of the strength of the research environment, progress against REF strategies and defining areas that require support or improvement.</li> </ul>				

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<b>2.4. Academic Work planning</b>				
2.4.1.	Review of time allocation for research for newly appointed research-active staff in priority areas, with the aim of enabling such staff to produce research outputs for the next REF.	PVC Research (with research managers)	Delayed due to changes in university leadership and taken forward in new plan.	<p>The original success measure was for ECRs in REF priority areas to have a formalised time allocation to undertake research. Whilst this does happen in many areas, there is a need for common practice on the offer for new staff. Integration of departments and research centres in some areas has led to closer working of managers responsible for teaching and research to develop more flexible approaches to Academic Work Planning such that more staff can have 0.2FTE for research.</p> <p>Increased satisfaction from ECRs will need to be measured after a policy has been introduced.</p> <p>This work is being taken forwards as part of the University's approach to developing a Code of Practice for REF 2021.</p>
2.4.2.	Closer working between department managers/ work planners and UoA coordinators/managers of research to ensure alignment to maximise research benefits.			
2.4.3.	Consideration in the work-planning model of the balance of activities undertaken by teaching staff, such that ECR academic staff are given proportionately less teaching and related administration.			
2.4.4.	Prioritisation of support for ECRs who have demonstrated research potential for the next REF.			
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• ECRs to maximise research opportunities and outputs, develop their research profile and contribute to the REF submission.</li> <li>• Supports increased staff satisfaction.</li> </ul>				

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**SUPPORT AND CAREER DEVELOPMENT**

<p><b>Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment</b></p> <p><b>Principle 4: The importance of researcher's' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career</b></p>				
Action		Lead	Status	Original success measures and progress
<b>3.1. Mentoring and Wellbeing</b>				
3.1.1.	Develop a University wide approach to mentoring - ensure mentoring is embedded with specific development programmes that are open to research staff, as well as ensuring that mentoring is available on an <i>ad-hoc</i> needs basis by pulling together a pool of mentors.	HROD	Completed	A new mentoring site has been launched including guidance and support for mentors/mentees and a pool of over 100 mentors has been created so that mentoring is available outside of the specific development programmes that are open to research staff (e.g. Aspire, Aurora and department-based schemes).
3.1.2.	Heads of Department or Research Centre to identify ECRs in their area and ensure they are appropriately supported - all new research-active staff to be offered a mentor.	Heads of Depts. and/or Research Centres	Ongoing and built on in new plan	146 staff requested a mentor between Nov 2017 and Oct 2018. 118 (80%) are from professional services, 24 (18%) are academic, 3 (2%) are technical services and 1 (1%) is research. 74 (51%) of those staff who have requested a mentor have found a match, 66 (45%) are in progress and 6 (4%) have decided not to pursue it further.  Local research mentoring practice varies across the University and a working group has

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				been set up to review this and make recommendations to ensure all new research-active staff are offered a mentor.
3.1.3.	Ongoing communication to research staff of the Staff Wellbeing support that is available, including support available from the SHU Wellness team and Mental Health workshops and bespoke development sessions, where a need has been identified.	HROD	Ongoing	<p>Mental Health First Aid training is now available in-house and an online mental health community (Big White Wall) is available to SHU staff and students (17.4% increase in uptake). Mental health trained members of staff; 95 First Aiders, 144 mental health champions and 115 with a general awareness.</p> <p>From the 2017 CROS and PIRLS data, there is still room for improvement in this area. Only 38% (CROS) and 53% (PIRLS) think SHU promotes better mental health and wellbeing at work. Only 59% of CROS and 47% of PIRLS respondents are satisfied with their work-life balance.</p>
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Researchers realise the range and benefits of support available, not least in the development and advancement of careers, satisfaction and wellbeing.</li> </ul>				
<p><b>3.2. Inductions</b></p>				
3.2.1.	Monitor researcher satisfaction with induction via surveys of new staff that have joined the University and put actions in place to address any issues.	HROD, RIO and line managers	Completed	University induction for new staff is now largely <a href="#">online</a> and usefulness of institutional-wide induction reduced from 57% (CROS 2015) to

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3.2.2.	Improve awareness of researcher career pathways and the opportunities for development and progression at SHU, alongside enhanced induction for new researchers.			<p>42% (CROS 2017).</p> <p>As a result, RIO introduced an induction event for new researchers in December 2018 which was attended by 35 researchers and included an update on our research strategy, discussion of support available and activities around the Concordat as well as case studies of research career progression from the Chair of RCOG and other successful researchers.</p> <p>Feedback from the event was positive with attendees stating that they have a better idea of where to go for support and guidance and will put action plans in place for research.</p>
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Regular inductions take place and they effectively address the research focus.</li> </ul>				
<p><b>3.3. Collaborative Doctoral Training</b></p>				
3.3.1.	Explore opportunities with strategic partners to further enhance our collaborative doctoral training provision in areas of research strength and of priority to the University.	Director Doctoral School	Completed	<p>We continue to explore opportunities for collaborative doctoral training, and are involved in several formal training partnerships. Two new partnerships started during the period of this review - the Doctoral Training Alliance (DTA) Social Policy programme and the ESRC White Rose Social Sciences Doctoral Training Partnership. We are also part of the DTA3 COFUND consortium awarded European Commission funding under the Marie Skłodowska-Curie programme.</p>

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<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Broader professional community that facilitates collaboration, knowledge sharing and extended reach for both doctoral students and academic supervisors.</li> </ul>				
<p><b>4.1. Leadership and Management Development</b></p>				
4.1.1.	<p>Ensure senior research leaders can access leadership and management development such as the Academic Leadership Programme and the University development programme, providing support in key areas of leadership and management responsibilities. These will be communicated proactively on an ongoing basis.</p>	<p>HROD (with RIO)</p>	<p>Completed</p>	<p>The new <a href="#">Hallam Leaders Home Site</a> contains tools, resources and opportunities to staff to develop their leadership and management. 66 members of staff have engaged in the Hallam Leaders' Programme, 210 have joined the Hallam Leaders' Community and 20 leadership events have been delivered in 2018.</p> <p>The Heads of Department Development Programme focuses on strengthening the strategic role of senior leaders and 18 senior leaders across academic and professional services are currently engaged with the programme.</p> <p>Within the STA Faculty, 80 leaders and managers have started the essentials of leadership and management programme.</p>
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Supports succession planning, career development and effective leadership.</li> </ul>				

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<b>4.2. Researcher Development Programmes</b>				
4.2.1.	Expand the Sheffield Hallam Researcher Development Programme (SHaRD) to include new targeted areas of development including public engagement, knowledge exchange, and impact (as identified in CROS 2015).	RIO	Partially completed	Commercialisation and impact workshops have been added for 17/18 and 120 bookings were made across 10 commercialisation events.
4.2.2.	Review attendance at SHaRD events in terms of spread of attendees across the University's four Faculties, to identify pockets for more targeted development.			The ECR events run in 2018 have been attended by staff from all 4 faculties. The proportion of attendees from 2 of the Faculties (HWB and SBS) has been at or above expected compared to the relative numbers of active researchers in those areas. This signals better engagement from some areas and a need for more targeted activities in others to improve uptake.
4.2.3.	Develop the SHaRD blog to promote the researcher development offer; to encourage dialogue with the research community and better understand development needs (in line with EOS, CROS and PIRLS)		Ongoing	<p>The new impact programme offers resources for researchers, on-line training and face-to-face development with peer groups. In 2016-17 six REF impact panel workshops were delivered (157 attendees) and in 2017-18 eight impact workshops have been held (107 attendees) with 24 follow-on sessions for REF impact case study authors. We have brought together an active impact community who are sharing best practice and forming new collaborations.</p> <p>A highly-successful inaugural University Creating Knowledge Conference (June 2018, 230 attendees) showcased the quality and diversity of our research across our platforms and laid the foundation for future research collaborations across the University. The conference launched with the doctoral 3 Minute</p>

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				Thesis Competition and, together with a dedicated ECR session, ensured ECRs were placed centre stage.
4.2.4.	SHaRD provision to be expanded to include webinars and online learning materials to cater for part-time researchers.		Ongoing	We are contributing to a regional collaboration of monthly webinars aimed at ECRs.  The epigeum research skills courses were moved to external hosting (and access via the blackboard site disabled) as of 1 August 2018. Of the 207 participants from SHU registered on the system so far, 44 are members of staff.
4.2.5.	Relaunch the suite of online Epigeum courses including a more personalised on-line training offer with increased signposting. Continue to embed Epigeum into researcher development to provide blended development. Improve monitoring of engagement.		Ongoing	
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>Expanded training and development offer that fits identified researcher need e.g. impact.</li> <li>Effective communications and uptake of courses offered by SHaRD, meeting the needs of researchers.</li> </ul>				
<p><b>4.3. Building Capacity for the Career Progression of Researchers</b></p>				
4.3.1.	To provide differentiated routes to professional recognition as Associate Fellows of the HEA for doctoral students with contracted teaching hours	LEAD (now part of the Provost Group)	Completed and built on in new plan	Recruitment in 2017-18 to the new HEA accredited University Advanced Professional Certificate: <i>Introduction to Learning and Teaching in Higher Education</i> . Target 10 doctoral students for 2017-18, growing to a maximum of 20 in subsequent years. This course is running for the first time July-December 2018.

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				A new route to Associate Fellow of the HEA status for doctoral researchers has been proposed (based on the existing Teaching Skills for Doctoral Students course). It was submitted with the scheme reaccreditation in October 2018.
4.3.2.	Development of research-informed teaching case studies on the recognition scheme exemplars site (all academic staff).		Partially completed	Senior Fellow exemplars from researchers are on the TALENT pages <a href="#">here</a> and guidance on how researchers can identify relevant evidence from their practice will be added.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>As fellowship is embedded within person specifications and progression criteria at this institution, and many others, career prospects for doctoral students and research/academic staff progression will be enhanced</li> <li>As Associate Fellows of the HEA, demonstrated against the UK Professional Standards Framework, Doctoral students and research staff will become part of an academic community of practice, which will develop their confidence and identity as academics. It will give them further access to ongoing CPD and development opportunities (such as peer review and mentoring).</li> </ul>				
<p><b>4.4. Integrated Researcher and Teaching Staff Development</b></p>				
4.4.1.	Re-invigorate the Academic CPD Group for integrated researcher and teaching staff development to identify and develop resources/opportunities in the light of changes in the strategy introduced by a new senior management team. Promote the use of the Academic CPD portal which brings together information on opportunities available to staff and students involved in teaching and research.	Academic CPD Group (reporting to PVC Research and Innovation and PVC Student	Being taken forward via an alternative approach	The Academic CPD conference did not run in 17/18 but a University-wide research conference was introduced (see 4.2).  The Academic CPD portal will be replaced with HROD pages directing staff to development opportunities across the university. A learning and development group has been convened to look at the presentation of a more coherent offer and will consider more consistent use of a

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		Experience).		central system to record staff training activities.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>Helps bridge the frequently perceived division between teachers and researchers and to facilitate the delivery of research informed teaching as required in the Teaching Excellence Framework.</li> </ul>				

### RESEARCHERS' RESPONSIBILITIES

<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>				
<b>Action</b>	<b>Lead</b>	<b>Timescale</b>	<b>Original success measures and progress</b>	
<b>5.1. Representation</b>				
5.1.1.	Enhancement of the research community through the establishment of a University- wide ECR Forum.	ECR reps (with Chairs of Research Committees)	Partially completed and built on in new plan.	5.1.1. ECR Network launched and forward plan in place for activities <a href="https://blogs.shu.ac.uk/shard/shu-early-career-researcher-ecr-network/">https://blogs.shu.ac.uk/shard/shu-early-career-researcher-ecr-network/</a> Three university-wide ECR network events ran in 2018 with 130 attendees in total and there are plans for a further two events in 2018/19.
5.1.2.	Identified ECR representatives in each Faculty to be actively involved in Faculty, as well as University-level, research governance structures.			5.1.2. Of the 4 Faculties, 2 have ECR reps on their research committees.
5.1.3.	Actively encourage transparent selection processes of appointing ECRs and PGRs to internal University and Faculty committees.			5.1.3. Expressions of Interest invited faculty-wide for ECR reps on RCOG (in HWB

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5.1.4.	Explore opportunities to link ECR reps to the induction process.			September 2017 and in STA September 2018) 5.1.4. Research Staff Induction event ran in December 2018 involving ECR reps.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Enhances networking, peer support and acts as a conduit to assess development needs and deliver targeted training.</li> <li>• Greater visibility of ECR representatives and better communication to build communities and empower the representatives in feeding up into their communities.</li> <li>• Facilitates research links and collaboration.</li> <li>• Support and integration for new researchers.</li> </ul>				
<p><b>5.2. Raising the Quality of Research</b></p>				
5.2.1.	Communicate University requirements and guidance around the regular University research assessment process (mini-REF), Peer Support Policy for research grant applications, individual 5-year research plans and publication strategies, to ensure researchers understand their responsibilities and are supported to achieve them.	UoA Coordinators and line-managers.	Completed	<p>High level of engagement of ECRs in mini-REF.</p> <p>Increased volume of miniREF 2017 submissions 567 (509 in 2015) with no drop in quality of outputs.</p> <p>Peer review instigated for all fellowship applications; targeted intervention in ACES (STA) for ECRs to submit fellowships. Round 1 (July 2018): 6 Expressions of Interest reviewed - 2 submitted. Round 2 (due end January 2019).</p> <p>ECRs were encouraged to make applications to internal research investment schemes. A proportion of funding was either ring-fenced for ECRs or research teams had to demonstrate support for and development of ECRs. Four of</p>

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				the 11 fellowships were awarded to ECRs in their own right, and all of the 10 awards across the challenge and strategic investments schemes included ECRs within the core research teams with a commitment to ECR development.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Medium and long-term research and publication plans to enhance research activity, contribution to the discipline and career progression. Increased external grant application success rates, improved ability of ECRs to prepare strong external bids.</li> </ul>				

**DIVERSITY AND EQUALITY**

<b>Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers</b>				
<b>Action</b>		<b>Lead</b>	<b>Timescale</b>	<b>Original success measures and progress</b>
<b>6.1. Research Assessment</b>				
6.1.1.	Continue to undertake an Equality Impact Assessment (EIA) on the University's regular research assessment exercise (mini-REF) against protected characteristics.	RIO (reporting to E&D board)  Raise issues with the PVC with responsibility	Completed	EIA undertaken for mini-REF 2017; reported to REF Management Group and RCOG. Progress has continued in the intervening 18 month period between Mini-REF 2015. There are no gaps of significance relating to disability, ethnicity or contract type. Gaps relating to gender (females), age (50-59s) and working pattern (part-time) remain. While not universally

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		for Equality and Diversity, where appropriate.		reducing, the direction of travel remains broadly positive.
6.1.2.	Ensure communications are appropriately worded to encourage all staff undertaking research to engage with the University's research assessment exercise regardless of contract type, occupancy or working pattern.		Ongoing	All staff producing research outputs engage with the assessment process.
6.1.3.	All research reviewers to take the Unconscious Bias and Equality and Diversity online modules to minimise potential gender bias of the review process.		Ongoing and in new plan	Success measure: All identified reviewers take the Unconscious Bias and Equality and Diversity training modules.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• To embed the principles of equality and diversity in the assessment of research.</li> <li>• To highlight any equality and diversity issues and to make any recommendations with a view to improving staff participation in assessment exercises.</li> <li>• To remove potential gender or other bias in the review process.</li> </ul>				
<p><b>6.2. Grant applications and internal investment opportunities</b></p>				
6.2.1.	Monitor protected characteristics (specifically gender) for external research grant applications and other internal funding schemes.	RIO	Taken forward in new plan (timescale July 2019)	Success measure: Equal participation and engagement of males and females compared with the academic population.

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<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>To highlight any Equality and Diversity issues.</li> <li>To make any recommendations with a view to promoting engagement in under-represented groups.</li> </ul>				
<p><b>6.3. Wider University Reporting</b></p>				
6.3.1.	Link more strongly with equality and diversity processes, management information and recommendations in Athena SWAN – notably the renewal of the University Bronze award.	Chair RCOG / Chair Athena SWAN SAT	ongoing	The University Bronze Athena SWAN award was awarded under the new principles. The team reviewed commonalities between the Concordat action and the Equality, Diversity and Inclusion (EDI) plan as well as the Athena SWAN action plan to ensure alignment and no duplication of activity.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>Greater efficiencies with streamlined reporting.</li> <li>Direct link between Athena SWAN and the Concordat for added value and joined up approach and strategy.</li> </ul>				
<p><b>6.4. New Routes to Career Progression (Reader)</b></p>				
6.4.1.	Review the progression to Reader for the first 2 years of operation to assess any gender imbalance.	HROD reporting to RCSC	completed	No imbalance in protected characteristics identified compared with the academic population.
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>To highlight any equality and diversity issues and implement actions with support/input from E&amp;D Board to address this if any imbalance is identified.</li> </ul>				

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**IMPLEMENTATION AND REVIEW**

<b>Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK</b>				
<b>Action</b>		<b>Lead</b>	<b>Status</b>	<b>Original success measures and progress</b>
<b>7.1. Monitor Progress and Review Implementation</b>				
7.1.1.	RCOG to review progress against action plan and to report as needed to CKB.	RCOG	completed and ongoing in new plan	The RCOG Chair is now a member of University CKB. An overview and progress against the Concordat action plan was reported to CKB 19 July 2018 and 18 October 2018.
7.1.2.	Annual report to CKB.			
<b>Benefits</b>				
<ul style="list-style-type: none"> <li>• Accountability and progress made against the strategy and action plan.</li> <li>• Endorsement and ownership by senior management leading to improvements in identified areas.</li> </ul>				
<b>7.2. Communication and Consultation with Research Community</b>				
7.2.1.	Publish annual reports of progress against the strategy and action plan on the University's external website.	RCOG	completed and ongoing in new plan	Biennial reports will be published on the external website. Concordat-related activities have been reported

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7.2.2.	Regular feature in the Research and Innovation Newsletter to the research community on developments.			<p>in the quarterly Research and Knowledge Exchange Newsletter.</p> <p>Awareness of the Concordat to support the career development researchers is relatively low but it is higher for specific researcher development initiatives. 65% of CROS 2017 respondents said they have never heard of the Concordat and 68% have never heard of the HR Excellence in Research award so there is still work to do in terms of raising awareness</p>
7.2.3.	Engagement and communication via surveys, newsletters, Faculty Research Conferences, relevant blogs and the University-wide ECR Forum.			
7.2.4.	Produce an updated summary of Concordat governance and key points of contact for stakeholders.			
<p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Capture the achievements of the RCSC and raise the profile of the Concordat.</li> <li>• Inform stakeholders on development, opportunity and progress.</li> <li>• Raise the profile of the ECR reps to allow more effective stakeholders feedback.</li> </ul>				

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### Abbreviations used:

ACF	Academic Careers Framework	LEAD	Learning Enhancement and Academic Development (now part of the Provost group)
CKB	Creating Knowledge Board	PDR	Performance and Development Review
CPD	Continuing Professional Development	PGR	Postgraduate Researcher
CROS	Careers in Research Online Survey	PIRLS	Principal Investigators and Research Leaders Survey
DTA	Doctoral Training Alliance	PVC	Pro-Vice Chancellor
E&D	Equality and Diversity	RCOG	Researcher Concordat Operations Group (previously RCSC)
ECR	Early Career Researcher	RDF	Vitae Researcher Development Framework
ECR	Early Career Researcher	REF	Research Excellence Framework
EDI	Equality, Diversity and Inclusion	RIO	Research and Innovation Office
EIA	Equality Impact Assessment	SAT	Self-Assessment Team
EOS	Employee Opinion Survey	SBS	Sheffield Business School
FTE	Full Time Equivalent	SHaRD	Sheffield Hallam Researcher Development
HEA	Higher Education Academy (now Advance HE)	SHU	Sheffield Hallam University
HROD	Human Resources and Organisational Development	STA	Faculty of Science, Technology and Arts
HWB	Faculty of Health and Wellbeing	UoA	Unit of Assessment