SHEFFIELD HALLAM UNIVERSITY CONCORDAT ACTION PLAN - (JANUARY 2019-2021) v4.7 updated January 2021

Staff survey data has been cross-referenced throughout the action plan and is summarised separately for clarity and confidentiality.

RECRUITMENT AND SELECTION

Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research				
Action	**Lead**	**Timescale**	**Success Measure**	**Progress**
1.1. Concordat priorities informed by management information				
1.1.1. Work with relevant academic and professional services groups across the University to (a) better understand any issues which influence the recruitment, selection and/or retention of researchers, and (b) ensure our Concordat activities support the University to address any identified issues. Introduce principles and mechanisms to identify academic staff with significant responsibility for research within staff data sets to a) ensure appropriate targeted communications, b) reliable, quality data provision and c) targeted interventions.	HROD, RIS, Dean of Research	May 2019 and annually thereafter	Minimum of 2 targeted development interventions based on identified issues. Increased satisfaction of research staff as a result of having an evidence-base for planning; measured via staff surveys.	Specific issues identified through our equality impact assessments are: 1) low proportion of University staff who identify as BAME origin 2) under-representation of certain protected characteristics in staff groups and internal research assessment exercises The actions we have implemented to address these are: (i) staff recruitment follows equal merit principles for all vacancies where the department has a low number of BAME staff (ii) specifically inviting Prof/Associate Prof applications from Women and/or BAME staff in 2020/21 (iii) Institutional commitment to the Declaration on Research Assessment

					(DORA); May 2019. Internal assessment of research outputs follows the principles of DORA.
					In line with our REF Code of Practice, we introduced individual staff research plans, linked to Performance and Development Review (PDR), which inform research time allocations. This agreed time allocation is recorded in our work planning system (AWP). The process is being adopted as part of our regular planning cycle post-REF. Of the 1600 academic staff, 500 were identified as having Significant Responsibility for Research. There were only 2 appeals which indicates staff agreement and satisfaction with this process.
					Our REF2021 Code of Practice was approved by Research England on 8 November 2019 following 4 open consultation events with researchers and staff representative groups. The final version of the document can be found here
					A new field in the staff HR system enables us to identify staff with Significant Responsibility for Research which will enable better identification and engagement of staff through surveys and subsequent action plans.
					April 2019 staff survey: the highest scoring questions for all academic staff (R and T&R) included: 'I feel a sense of personal accomplishment doing the work I do' and 'my tasks and responsibilities interest and

					motivate me' indicating a good level of job satisfaction. (See survey data table Q. 1, 2). April 2020 survey: scores improved for questions related to how well-informed staff feel, and for managers encouraging open, honest, 2-way communication. (See survey data table Q. 3, 5). [Completed]

1.2. Recruitment Practice

1.2.1.	The inclusion of research-active staff members on all academic recruitment panels to make sure that research potential and expertise is considered in line with University strategic plans to build teams which are well-balanced across learning and teaching, research and professional engagement.	HROD recruitment team (with Chairs of panels) *Revised to: HROD Resourcing and Reward team*	2018/19 onwards to review implementation of policy and impact	All (100%) recruitment panels have research representation.	All staff recruitment activity is supported by a dedicated contact within the HROD Recruitment Team. This contact provides advice and guidance on the University's processes and expectations around recruitment and selection. We have established standards and minimum requirements for academic recruitment and selection, including panel constitution and training (EDI training for all participants plus specific Chairs' training, as well as an EDI statement to be read at the start of all selection activity). For teaching-focussed academic roles, the guidance includes a statement that all senior/lecturers are expected to engage in research and scholarly activity and must be given the opportunity to demonstrate their skills, experience and aspirations in this area during the selection process. For research-focused roles, candidates

					must provide the panel with copies of their top publication(s) (which will be considered in line with our commitment to DORA – see 1.1.1.) and deliver a presentation on their personal research. This is to support assessment of a candidate's research experience and potential, future research aspirations and the extent to which their research profile is aligned with the area they've applied to work in.
					Actions to take forward into the 2021 plan are to incorporate the Concordat into our recruitment and 'onboarding' activities for research-active staff, and to consider how the DORA principles can support recruitment and selection.
					[Carried over to new action plan]

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**	**Timescale**	**Success measure**	**Progress**
2.1. Academic promotion and career progression				
2.1.1. Following the introduction of the Academic Careers Framework (ACF) in 2018, review the processes around	HROD recruitment team *Revised to: HROD Resourcing and*	September 2020	Positive increase in staff perceptions of the opportunities for promotion and	We launched the ACF as a pilot in June 2018 and, following a process of feedback and evaluation, revised and re-published in June 2019.

	academic career progression to ensure consistency across the University in line with our strategy to strengthen research and scholarly activity of outstanding quality.	*Reward team (with ULT lead & Dean of Research)*		progression (above 42% measured by CROS 2017 Q.10d).	We have reviewed and revised our processes for academic career progression, and implemented a University-wide scheme for Associate Professor and Professor routes, with associated guidance and support via dedicated staff intranet pages, career stories and workshops. The 2020/21 annual progression process was launched in November 2020. University-wide communications featured career stories and advice from current professors and associate professors, focusing in particular on staff from under-represented groups. Applications for Professor and Associate Professor are assessed by College panels and then our Professoriate Committee. The composition of these panels has been revised to be representative of the wider academic community in respect of gender and ethnicity. We have introduced an EDI statement at the start of Professoriate Committee meetings to support equality and inclusion in decision-making and data on success rates is being collected. CROS 2019 Q11.4 (To what extent do you agree that your institution treats you fairly as a researcher in comparison with other types of staff in relation to opportunities for promotion and progression) – a reduced % agreement compared with 2017. (See 7 in the survey table). However, this has not been surveyed since the re-launch of the revised ACF and University-wide annual progression scheme. [Completed]

| 2.1.2. | Develop a range of case studies for the web pages that reflect academic staff diversity and the different routes for progression to give a sense of how this can be achieved in line with (a) our strategic commitments to create a strong research culture and (b) our equality objectives (2017-2020) including to make equality, diversity and inclusion a priority in all our work through visible role models and stories of diversity. | RCOG, working with the EDI Team

Revised to: HROD Resourcing & Reward and Organisational Performance & Culture Teams | September 2019

Revised to June 2020 | Availability of 2 case studies for each academic level. Use of case studies in workshops, specifically the biannual RIO induction event and the annual Creating Knowledge Conference. | Individual staff career stories are being developed; to date 7 professor and 1 associate professor case studies are available on the ACF website, and more are in development.
https://blogs.shu.ac.uk/acf/career-profiles/

We have used these case studies in all-staff communications regarding the annual progression process (see 2.1.1 above).

In addition, we have developed several research articles/stories for the "Research in Action" section of our website, featuring a diversity of researchers. EDI objectives for our web content are actively monitored to ensure representation of staff and student diversity.

ECRs who were awarded internal Chancellor's Fellowships participated in a panel Q&A at the 2020 Creating Knowledge (CK) Conference to raise profile.

Research leaders shared their career insights at the Researcher Induction event (June 2019) and the 2020 CK Conference.

[Completed] |

2.2. Staff surveys

| 2.2.1. | Continue to seek ways to understand the experience of researchers at the University through surveys (e.g. the University's | HROD and RIS | Surveys Spring 2019.

Report December 2019. | Actions underpinned by staff feedback and focused on enhancing the career satisfaction of | We ran our Staff Engagement Survey in March 2019. University-level results were communicated via all-staff briefings and the staff intranet. Local results were communicated via staff briefings and email. |

	Employee Opinion Survey (EOS), Careers in Research Online Survey (CROS) and Principal Investigators and Research Leaders Survey (PIRLS) and networks/focus groups (e.g. the Early Career Researcher Network). Continue to build on positive experiences and address gaps through this action plan.		Staff communications January 2020.	staff. Improvement in scores for areas identified as gaps or needing improvement e.g. increased satisfaction in pursuing a research career at SHU (>65%) and integration of ECRs into the University's research community (>50%).	The University Leadership Team agreed the priority areas for action and established task and finish groups, led by senior staff members, to take forward these areas. We ran shorter 'pulse' staff surveys in April and October 2020, primarily focused on remote working, wellbeing and support. We ran CROS and PIRLS in May 2019. However, this was shortly after the University's full staff survey and response rates to CROS and PIRLS were low. Acknowledging the risk of 'survey fatigue', alternative approaches to understanding researchers' experiences were adopted via focus groups (below) and pulse surveys (above). The CROS data showed disappointing results against the target measures, but response rates of only 37% (111 staff) make it difficult to identify actions from this. (See survey data table Q. 8, 9). In October 2020, we ran focus groups with research leaders to gather their insights on research staff experiences of conducting research via remote working and the transition back to some on-campus activities. The aim is to ensure we understand the impact that the pandemic restrictions are having on researchers across specialities and roles. Information from the focus groups informed an action plan, developed by Research Leadership Group, aimed at supporting ECRs and under-represented groups.

					As a result of the pandemic and the move to online teaching delivery, hours on academic workplans needed to prioritise teaching, learning and assessment, recognising the increased demands on staff required to create and deliver online teaching and assessment. This means that, for some staff, hours for research were reduced during 19/20 and 20/21, and we expect to see a consequent impact on staff satisfaction in relation to research. In October 2020, we began work to develop our institutional "Hallam Values". Around 500 staff, students and alumni have taken part in the initial sessions to develop the values, which will be launched early 2021. [Completed, ongoing activities]
2.3. Management and appraisal					
2.3.1.	Continue to monitor staff perceptions of the value of academic Performance and Development Review (PDR) to their personal and professional development, in line with strategic objectives to improve performance management and appraisal arrangements to encourage outstanding research and consultancy at a team level. Encourage managers and staff to utilise the appraisal guidance and toolkit which includes prompts for reviewees (and reviewers) to consider	HROD (Faculty HR Business Partners) *Revised to College HR Business Partners*	Ongoing In advance of 2019 annual PDR round, and annually thereafter	Targeted communications with managers and researchers supported by workshops prior to appraisals taking place. Implementation of targeted recommendations following an audit of the PDR process. Staff perceptions of value of PDR, as measured by	The PDR process was audited by our internal auditors in June 2018. This included focus groups to gather feedback from staff. The outcomes from this, combined with the outcomes from the task and finish group following the staff survey, have been used to further enhance the PDR process within the University. We launched the ACF as a pilot in June 2018. We held ACF focus groups during March 2019 and subsequently (June 2019) published a revised framework for use in PDR. We ran sessions for reviewers and reviewees on embedding the ACF into PDR

| where they are now in relation to different academic activities, considerations for their development in each area or, if they are new to a particular area, what they may need to consider, as well as their career development & wellbeing. | | | staff surveys - Employee Opinion Survey; CROS Q.15, PIRLS Q.15. | (June 2019 onwards).

Following the 2019 staff survey, we established a Performance and Development task and finish group to identify and take forward the actions arising from the survey. Recommendations from this group are informing ongoing development of the PDR process.

We introduced individual staff research plans, linked to PDR, which inform research time allocations. This is aligned to the principles of our REF Code of Practice and currently operates locally, with the intention of moving towards a common institutional process and form. This agreed time allocation is recorded in our work planning system.

Staff survey data showed that although the overall usefulness of PDR is perceived to have decreased since 2017 (see survey data table Q. 10), research leaders now find PDR more useful to identify strengths and achievements (see Q. 12) and both CROS and PIRLS respondents find it more useful to review personal progress (see Q. 13). The 2019 staff engagement survey showed that research staff are moderately positive about have good conversations with their managers about the performance and development (see Q. 14) and research leaders are more confident in conducting PDR (see Q. 15).

[Completed] |

2.3.2.	Review aggregated staff development plans from PDR forms. Identify common development needs and implement new support programmes for researchers in line with the University's strategic objective to provide appropriate development opportunities for staff with the potential to produce high-quality research.	RCOG with Heads of Research Centres and Institutes and ADRIs	December 2019 and annually thereafter	University Researcher Development Programme (SHaRD) and related development in HROD informed by priorities identified through staff PDR and ADRI direction.	The University PDR process is pivotal to understanding staff development needs; however, it is not yet possible to aggregate data from the PDR process. To enable targeted researcher development, we have used University equality data alongside focus groups with research leads to identify priority areas for staff development including: i) support for ECRs to develop their career through fellowships, new investigator grants and pump-priming activity; ii) support for under-represented groups particularly females and those with disabilities and iii) innovation/business engagement skills. Central funding schemes specifically targeting these groups are being developed as part of our forward plan.
					We have launched an R&I development programme which will combine, interviews, mentoring, training and bid development workshops to engage these groups - 133 researchers (of which 72 identify as ECRs) have already submitted expressions of interest to commence the interview process in Jan 2021. External specialists have been appointed to run development workshops which will focus on (i) targeted training for specific groups of staff (ECRs, female researchers) around preparing grant applications; (ii) targeted support for specific applications such as fellowships or other grants that support career development; (iii) one-to-one support for large-scale bids, interview techniques and other applications that would benefit from external input.

					The ECR Network leads a programme of events based on Network members' development interests.
					Research Institute Directors are leading on specific strategic research themes, including People and EDI which intersect with our forward-looking action plan.
					[Ongoing in new action plan, ref ECI2, ECI6]
2.4. Time allocation for research					
2.4.1.	Review of time allocation for research for newly appointed academic staff in the University's priority research areas, with the aim of supporting staff to establish/develop/continue their research careers and profile in line with the University's goal to (a) increase the volume and quality of research and (b) build a strong knowledge exchange culture.	University Leadership Team	October 2019	Newly-appointed research-active staff have an agreed time allocation for research, as appropriate to their discipline area. Staff perceptions of the attractiveness of SHU to continue their research career, as measured in CROS/ PIRLS (SHU specific question). Target >62% CROS and >55% PIRLS.	In line with our REF Code of Practice, academic staff have individual staff research plans, linked to PDR, which inform research time allocations. The agreed time allocation is recorded in our work planning system (AWP). Additionally, academic development time is built into staff workplans according to career stage/trajectory. See 2.2.1 for CROS/PIRLS data [Completed]
2.5. Internal investment aimed at ECRs					
2.5.1.	Prioritisation of selected internal funding schemes to support ECRs in our REF priority areas; including our Creating Knowledge investment funding	PVC Research	October 2018 – July 2019	Investment funds awarded to ECRs across the University with clear alignment to University	During 2018/19 and 2019/20, we committed >£1 million of internal funding across seven funding streams (86 awards) to support researchers at all stages of their career.

linked to research and innovation platforms. This supports our strategic aim to ensure University-wide action to enhance our research through targeted investment in both current and new areas of activity that allow us to make a distinctive contribution.			strategy and the new Research and Impact platforms and foundations. Minimum of one fellowship awarded to an ECR; all strategic investment and challenge fund investments to include an ECR on the team and ensure their development.	Three of the schemes were designed to pump-prime research activity, others were focused on developing/supporting international collaborations, research networks and impact. Depending on the stream, a proportion of funding was ring-fenced for ECRs or teams had to demonstrate support for and development of ECRs. 4 of the 12 Chancellors Fellowships were awarded to ECRs; the 16 Challenge Awards and 11 Strategic Investment awards all involved ECRs within the research team. Our flagship Advanced Wellbeing Research Centre (AWRC) held a competitive internal call for ECRs to apply for pivotal research leadership roles, working alongside experienced research leads and promoting interdisciplinary research across the whole institution. Over 30 ECRs engaged with this process, and 5 now have Theme/Programme Co-Leadership positions at the AWRC. For 2018/19 we introduced a Career Kickstart Publication Fund, where central Article Processing funds were targeted specifically at early-career researchers and parental leave returners. More than £25,000 was spent on gold open access for these researchers during 2018/19, 27% of all open access funds. [Completed. Ongoing activity in new plan, ref. ECI2, ECR1, PCDR6]

SUPPORT AND CAREER DEVELOPMENT

Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment				
Action	**Lead**	**Timescale**	**Success measure**	**Progress**
3.1. Research Mentoring				
3.1.1. Undertake a review of current practice in research mentoring across the University; develop common principles and associated resources and support to ensure consistency of offer and alignment with other University mentoring schemes.	RCOG / CKB task group	Sept 2019	All new research-active staff to be offered a mentor. Numbers of mentoring partnerships analysed annually and feedback gathered to inform improvements. Target 50 new mentoring partnerships.	A paper summarising the review of current schemes, examples of good practice and the principles under which schemes should operate was approved by Creating Knowledge Board in May 2019. Different opportunities exist for researchers to engage with mentoring, depending on e.g. academic area, career stage and need. This allows the necessary nuances for different areas and needs, and tailoring to specific requirements. Opportunities include specific Research Centre/Department schemes. Many of the University's management/leadership development programmes also include mentoring as a core component. Similarly, some of the internal funding schemes (e.g. fellowships) include a mentor. A University-wide mentoring scheme, run by HROD, provides all staff with the opportunity to request a mentor (or to volunteer as a mentor) depending on their particular needs. Given the number of different mentoring options available, and the innate privacy of such relationships, we have not collated data on the number of mentoring partnerships

					across all schemes.
					[Completed. Ongoing activity in new plan, ref. PCDI3]
3.2. Researcher Development Programmes					
3.2.1.	Undertake a comprehensive review of the researcher development offer for staff, in light of our new institutional strategy and Creating Knowledge priorities and also changes in the external environment, to ensure our offer continues to meet institutional and researchers' needs.	RIS	Sept 2019 and annually thereafter.	The researcher development programme is aligned with institutional priorities and supports achievement of research excellence and the building of a strong research and knowledge exchange culture.	See progress update under 2.3.2
					The 2019 Creating Knowledge conference (June 2019) was attended by 215 individuals, including 126 academic/research staff and 43 PGRs.
	Deliver an annual University Creating Knowledge Conference building on the success of the inaugural conference in 2018 to showcase the University's research, bringing activity together under the research and impact platforms. Ensure that ECRs are integrated into the conference e.g. represented on the planning group and within main panel sessions, as well as through dedicated ECR-focused activities.		June 2019 and annually thereafter.		The 2020 Creating Knowledge conference ran online over 4 days (June 2020). 326 booked including 151 academic/research staff and 45 PGRs.
					ECRs have been involved in conference planning, hosting information stands / networking events at both conferences.
					The Research Institutes have developed a series of cross-University "dialogue events" to bring together different perspectives, support the building of new networks, and advance research agendas aligned to strategic themes in these areas. Panels include both experienced and early career researchers. These commenced in 2020 including topics such as ageing, human rights, health active lifestyles; attendance has averaged ~ 50 staff per event. Activities will continue into 2021.
					[Completed]

| 3.2.2. | Continue to develop induction activities and support for new research staff | HROD, RIS and research managers | May 2019 and October 2020. | Gather feedback at newly introduced University induction event to inform improvements. | CROS 2019 indicated that 40% of researchers feel integrated into the University's research community (with greater feelings of integration into their department research community, see survey data table Q. 9). We launched a refreshed annual researcher induction in June 2019 which was well-received. In 2020, the pandemic has impacted usual induction activities and we overhauled our entire University induction programme for all staff, moving this online in a refreshed and accessible format with signposting to research activity and support. Internal staff intranet sites supporting research and KE activity, including Research and Innovation Services and sites for the four new Research Institutes, have been redesigned and newly launched in 2020 to provide up-to-date information and communications.

We have reviewed and revised the information available on the staff intranet for new starters, and we now have a dedicated Induction mini-site containing links to policies and key information across the staff intranet, information on events and networking opportunities, development and training, wellbeing, and EDI; as well as an opportunity to book on to an 'online welcome conversation' with our Vice Chancellor, Chief People Officer, and Director of HROD.

In 2020, we launched a new reflective 'Induction Journal'. The journal provides new academic staff with information to help them navigate their first 6 months at SHU and an opportunity to reflect on learning, challenges |

				and development needs.
				In Autumn 2019, we introduced Hallam Academic Programme for all newly-appointed permanent academic staff who are at the level of an independent academic. It provides the basis of a coherent developmental offer for new academic staff and includes the development of skills in research, teaching and professional and business engagement. The programme incorporates the PgCert in Teaching in HE, alongside two Research CPD modules that provide either (i) professional skills for leadership of academic research practice and the supervision of research students (Advanced) or (ii) professional skills to support academic research practice and the supervision of taught student research projects (Fundamentals). It also leads to Fellowship of the Higher Education Academy (FHEA) status.
				We developed two new routes to support researchers to achieve Associate Fellowship of AdvanceHE - (i) a course aimed at staff in student support roles (first cohort started July 2018) and (ii) a programme for doctoral researchers (first cohort started October 2019) – see 4.4.1.
				We introduced a 2-year probation period for new academic staff with the aim of supporting new employees to perform to the required standard and undertake the key responsibilities of their post. (Autumn 2019)
				[Completed. Ongoing activities in new plan, Ref. EI2]

3.3. Coherent staff development offer

| 3.3.1. | Develop new approaches to coordinating and signposting the range of development available across the University for academic staff. | HROD / learning and development group | October 2019 | A new and comprehensive portal which collates and rationalises the CPD offer for academic staff. | We launched a new Academic Essentials one-stop shop, including a new development events database, in Autumn 2020. It includes events, conferences and workshops available to staff and provides a location where post session recordings can be viewed. The site is owned by ADD and links to other relevant information and development, including Research & Innovation Services, HROD, Colleges and Research Institutes, Library T&L support, EDI and student support.

The weekly Academic Digest, emailed to all academic staff, provides an opportunity to highlight events and initiatives of interest to academic staff.

[Completed] |

3.4. Internal Peer Review of funding applications

| 3.4.1. | Continue to build and develop the peer review college through the Professoriate (and Readers), providing (a) a leadership role for this community to support early, mid | ADRIs supported by RIS | January – July 2020 | All researchers who make an application to the Creating Knowledge Investment funds to receive summative, informative and constructive feedback on their applications from three reviewers.

All review panels to comprise a mix of subject | We have mandated peer review for fellowship applications and research leader applications, particularly where an external funder has demand management expectations, and/or the number |

	and senior career researchers and (b) a supportive developmental culture that improves understanding and research quality.			disciplines (REF panel A/B and C/D) and gender. All peer reviewers to have undertaken the University's equality essentials training and unconscious bias training.	of institutional bids is restricted. The 2018-19 schemes all operated under this mandate – the review process was managed by RIS and involved researchers from across the University. The 2019-20 schemes have operated differently due to Covid and the demands on staff time. Applications are reviewed by Research leads at RLG which has a near-equal gender split of 4 females and 5 males. The appropriate research lead provides feedback to the applicant. All reviewers have undertaken the mandatory equality essentials training and unconscious bias training. [Completed]

Principle 4: The importance of researcher's' personal and career development, and lifelong learning, is clearly recognised an d promoted at all stages of their career

4.1. Researcher Wellbeing

| 4.1.1. | Improve awareness of the availability of staff training and advice to support good mental health and wellbeing in both staff and students. | Line managers and PGR tutors | Ongoing | Measures of researcher wellbeing as reported in CROS (Q.34) and PIRLS (Q.19). | Our staff communications have had an increasing focus on promoting and supporting mental health and wellbeing, particularly during the pandemic and move to home-working. Communications |

					have included links to internal support and resources, as well as dedicated information to support wellbeing during the pandemic and home-working. Communications have been included on the front page of the staff intranet, in various all-staff emails (including a dedicated Covid-related weekly email during 2019/20 and first semester of 20/21), and in the Vice-Chancellor's weekly staff video message.
					Our 'Staff Health, Wellbeing and Welfare' site provides information and support on wellbeing for all staff, and includes self-help resources and webinars. Our Employee Assistance Programme supports staff with personal and professional problems, and is available 24/7, online, telephone and face-to-face.
					In January 2020, we launched our 'Healthy Hallam' Champions network and have more than a hundred champions across the University. The Champions aim to empower colleagues to look after themselves and support each other, and promote relevant activities and good practice to staff in their area.

					The CROS and PIRLS data in relation to wellbeing showed disappointing results; however, as noted above, response rates were low. Agreement with the statement about the institution promoting better mental health and wellbeing was below the sector for CROS respondents in particular (see survey data table Q. 16).
					The two all-staff 'pulse' surveys run during 2020 had a strong focus on wellbeing and support. Results showed moderate scores for staff on research contracts (better than for other academics) in terms of maintaining normal levels of wellbeing and a healthy work-life balance (see survey data table Q.18, 19). The scores for line manager support for researchers were positive and have been maintained from April to October 2020 (see survey data table Q. 21).
					[Completed. Ongoing activity in new action plan, Ref. ECI3]
4.1.2.	Consider specific wellbeing activities targeted at researchers, aligning with activities for research degree students.	RIS	September 2020	Measures of researcher wellbeing as reported in CROS Q.34 and PIRLS Q.19.	See 4.4.1 – measures of staff wellbeing See 2.2.1 – Focus groups to understand how the pandemic has impacted on researchers

					across specialities and roles
					The ECR Network have hosted events on wellbeing (see 5.2.1)
					Through a subgroup of Research Degrees Committee and our Hallam Guild PGR wellbeing group, we are developing a PGR wellbeing implementation plan.
					[Carried over into new action plan, Ref. ECM3]

4.2. Leadership and Management Development

| 4.2.1. | Ensure senior research leaders can access leadership and management development (e.g. (a) the Hallam Leaders' Programme and the wider Hallam Leaders Community, (b) the Head of Department development programme and (c) a modular management development programme), providing support in key areas of leadership and management responsibilities. These will be communicated proactively on an ongoing basis by University research leadership team to promote uptake and to ensure time for participation is made available. | PVC Research and Faculty ADRIs

HROD | Academic year 2019/20 | Attendance rates at leadership and management development events and programmes.

Staff confidence in their research leadership skills, as measured in PIRLS (Q.11) | The 'Hallam Leaders homesite' is available to all staff and provides tools, resources and opportunities for development in leadership and management.

Our leadership development programmes enable leaders and managers to take responsibility for their own leadership development, to learn from and support the development of others, and translate learning into performance.

• The 'Hallam Leaders Programme' is aimed at first line managers and course leaders to senior middle managers/deputy heads of department and research centres. (typically Grade 6 to |

					SSG 1). Out of 132 who signed up to the Hallam Leaders programme, 56 (42%) were academic staff. This is in total for the two cohorts (18/19 and 19/20). • The Senior Leaders Programme is aimed at Heads of Dept. Heads of Research Centres and Professional Services Equivalents. 12 out of the 19 nominated for the Heads of Department programme were in academic roles. 4 from Research Leadership roles. • The Hallam Leaders Community provides a programme of internal and external leadership development events for any staff member interested in leadership development Our staff and 'pulse' surveys asked staff about their perceptions of line management. Scores were positive for 'communication' and 'feeling trusted' and both areas improved from 2019 to 2020 (see survey data table Q.5, 20). Scores for satisfaction with manager support were also positive and maintained at that level for staff on research contracts from April to October 2020 (see survey data table Q.

					21).
					PIRLS 2019: Acknowledging the low response rates, respondents to PIRLS had confidence levels above the sector average in almost all areas covered by Q11 including leading people and managing staff performance. Confidence levels have increased since 2017 for both areas although around half of respondents said they would benefit from more support/training in managing staff performance (see survey data table Q. 22, 23).
					[Completed. Ongoing activity in new action plan, Ref. EI4]
4.3. Developing research impact					
4.3.1.	Implement a new impact tracker system across the University to act as a repository of information, but also as a development tool to raise awareness and understanding of impact. This systematic approach will provide an overview of emerging and maturing impact across the University to support public engagement with our research activities and to	RIS Dean of Research	Launch February 2019 Staff training March – May 2019 Full roll-out June 2019	All researchers with early to mature research impact are registered on the system and actively engaging with the tool Target of 60 researchers.	We launched the impact tracker system in February 2019; we delivered a targeted training programme, with all users now trained and using the system. All 100 licenses are allocated and being activity used. The identification and development of impact has been further supplemented by training delivered by an external company via open sessions and more targeted one-to-one

	understand where support and investment is required, supporting strategic objectives to deliver economic, social and cultural impact.				sessions where individual development needs were identified. Research units have an identified Impact Lead to promote the development of research impact, working in collaboration with Impact Officers in Research and Innovation Services. We have established an external communications strategy to raise public awareness of research impact through a dedicated "Research in Action" area of our external website. [Completed]

4.4. Building Capacity for the Career Progression of Researchers

4.4.1.	Provide differentiated routes to professional recognition as Associate Fellows of the HEA for postgraduate researchers with teaching hours.	Provost Group *Revised to ADD*	October 2019	Target of 10 doctoral students on the PGR teaching scheme in 2019/20 increasing to 20 in 2020/21.	We developed an augmented version of our teaching skills programme for PGRs, with additional workshops to support Associate Fellowship (AF) AdvanceHE applications (first cohort started October 2019). During 2019/20, 19 PGRs gained AF recognition through either the PGR Teaching Scheme (14) or the University's 'TALENT' experiential route (5), depending on level of teaching delivery.

					[Completed]
4.4.2.	Develop guidance on how researchers (where they are not teaching academics) can identify relevant evidence from their practice to support HEA fellowship applications.	Provost Group *Revised to ADD*	October 2019	Guidance available and accessed by staff. https://blogs.shu.ac.uk/talent/exemplars/	We developed two new routes to support researchers to achieve Associate Fellowship of AdvanceHE, one aimed at staff with limited teaching roles (University Advanced Professional Certificate – Introduction to HE Practice; July 2018. There were 3 researchers in the first cohort of 14 with the next cohort due to run in 2021), the other for doctoral researchers (Oct 2019; see 4.4.1). The courses and supporting information clarify how participants meet the UKPSF areas of activity, core knowledge and values appropriate to Associate Fellowship (Descriptor 1). Guidance and exemplars are available on the 'TALENT' blog site for: • AFHEA for technical roles • SFHEA for research roles [Completed]

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RESEARCHERS' RESPONSIBILITIES

Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning				
Action	**Lead**	**Timescale**	**Success measure**	**Progress**
5.1. Profile and visibility				
5.1.1. Research staff to be encouraged to have a website profile that reflects their research interests, activities and outputs, supported by the University through the provision of (a) clear guidelines to staff on how their profiles can be updated and (b) effective systems such that output profiles have a live feed from the new research publication management system.	Heads of Research Centres and Institutes	September 2019	Strong up to date web profiles for all research active staff (approx. 500 staff). All research outputs provided directly from the University's publication management system.	All academic staff are expected to have a staff profile on the University's website. Standard sections are: About, Teaching, Research, Publications, Other activities. An online form, available via the staff intranet, allows staff to request a new staff profile or updates to an existing one. Guidance on writing style and potential content is also provided. Research outputs are listed under the Publications section via a direct feed to our research repository. [Completed]
5.2. Researcher-led development				
5.2.1. Provide support and facilitation as necessary to ensure that the ECR forum/network continues to be owned and led by the ECR community.	RIS	3 events per annum	An active ECR Network with activities defined and led by the ECR reps and wider community. Feedback from events indicative of impact and used to inform next year's plans. Target 150 attendees per year.	Events developed and hosted by the ECR Network include: 2018/19 events: Mental Health & Wellbeing (June 2019, 2 events – 12 attendees) and 'Protecting your time for research' (July 2019 - 15 attendees). 2019/20 Lunchtime seminars: applying for

| | | | | | internal funding; collaboration; publishing; and supervising. 60 attendees overall (2 other planned events had to be postponed).

Challenges remain around finding the best way to communicate and collaborate across the network – several online tools have been trialled, and other options are being considered.

[Completed. Ongoing actions in new plan, Ref ECR1, ECR5] |
|---|---|---|---|---|---|
| 5.2.2 | Encourage researchers to engage with the internal staff development activities available to them, including PDR, to support their career development. | Line managers and research leaders | Ongoing | Various measures of engagement, including attendance at staff development events; PDR completion and satisfaction rates (CROS/ PIRLS Q.15); and number of applications to internal funding schemes. | Researcher survey data indicate that PDR completion rates are high (CROS 2019 = 89%, PIRLS 2019 = 87%) but the overall usefulness of PDR is perceived to have decreased since 2017 (see 10 in the survey data table). Both CROS and PIRLS respondents find PDR most useful in terms of identifying strengths/achievements and reviewing personal progress and (see survey data table Q.10-13). The proportion of CROS respondents who take ownership for their career development is high and the majority agree that they are encouraged to engage in personal and career development (see survey data table Q. 29, 30).

Internal funding schemes attracted a good number of applications (155 across 7 schemes in 18/19 and 48 across 5 schemes in 19/20 when international travel schemes were postponed). Applications to external funding schemes have increased over the same period (18/19 - 474, 19/20 - 495, 20/21 - set to exceed 19/20).

Research Institute Dialogue Events – see 3.2.1 |

					CK Conferences – see 3.2.1 [Completed. Ongoing activities in new action plan, Ref. ECR1, ER3, PCD]]

DIVERSITY AND EQUALITY

Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers				
Action	**Lead**	**Timescale**	**Success measure**	**Progress**
6.1. Research Assessment and Funding Applications				
6.1.1 Monitor protected characteristics and academic seniority for internal Research and Knowledge Exchange funding schemes and external funding applications in line with our equality objectives (2017-2020) including (a) to bring about a step change in race diversity and equality and (b) to continue to eradicate gender disparities.	RIS	July 2019 and annually thereafter	Data reported annually to the Gender Equality Steering Group (ESG) and Creating Knowledge Board. Equal rates of participation and engagement of males and females compared with the academic population. Participation of ECRs in line with the academic population	We have undertaken a data analysis over three academic years (2016-17, 2017-18, 2018-19). The data show an under-representation of women who act as Principal Investigator for SHU on research applications. We plan to analyse data for 2019-20; as part of this we will determine whether Covid has had an additional impact on submissions generally, and in particular on gender - in line with an emerging national picture on the impact of the pandemic on females. Data have been presented to the EDI Group, Creating Knowledge Board and will be presented to the ESG in January 2021, and are informing our action plans, development and interventions (see 2.3.2 above)

					In November 2020, we launched a new leadership programme for minority ethnic staff, with the aim of increasing diversity at senior staff levels across the University.
					We launched (Autumn 2020) our "Inclusive Hallam" series of online events, exploring some of society's most challenging EDI issues and asking: "What can we all do to help make inclusion the norm within our communities and wider society?". This includes sessions on inclusive leadership.
					[Completed. Ongoing activities in new action plan, Ref. ECI2]
6.1.2.	In the context of the Research England REF 2021 guidance that HEIs should identify staff with a "significant responsibility for research", assess the impact on the gender balance of the REF submission (authorship of outputs submitted to REF).	RIS (reporting to E&D board and Creating Knowledge Board)	First draft - April 2019 Second Draft - January 2020 REF Submission - March 2021	Authorship of outputs submitted to REF 2021 is balanced in terms of gender compared with the eligible staff pool. All those responsible for output selection to have undertaken E&D and unconscious bias training to remove potential gender or other bias in the review process. The REF 2014 EIA is available at: http://bit.ly/2k6DbwZ	We conducted an Equality Impact Assessment on our REF 2014 submission and have continued to examine each of our draft submissions leading up to the REF 2021. An analysis on the second draft submission was reported to RCOG in May 2020. Data show an overall growth in research activity and engagement across the REF period. REF 2021 will submit 500 staff compared with 249 staff (headcount) in REF 2014; a doubling of our submission size. There are a number of areas where trends are of concern - gender, disability, ethnicity, and staff on fixed-term contracts.

					An analysis of research bid submissions is underway to understand engagement across staff groups, with a particular focus on engagement during the pandemic. Preliminary data show females are under-represented, and analysis will be extended to other protected characteristics.
					Trend data during the REF period is informing the University's actions - see 2.3.2.
					We have implemented training, peer support and strategic funding schemes aimed at supporting and developing ECRs and under-represented groups.
					A final EIA will be undertaken for the (delayed) REF 2021 submission with an associated action plan.
					During 2020, we established an EDI group for research and innovation, led by one of the Research Institute Directors.
					All REF reviewers responsible for output selection have undertaken EDI and unconscious bias training (see 6.1.3).
					[Completed, pending final REF EIA]
6.1.3.	All research output reviewers to take the Unconscious Bias and Equality and Diversity online modules to minimise potential gender bias of the review process.	RIS (reporting to E&D board)	January 2019 - ongoing	All identified reviewers have completed the University's equality essentials and unconscious bias training modules.	All identified research output reviewers have completed the required EDI training. This has been further supplemented by all output reviewers for REF 2021 undertaking an additional REF E&D module to clearly frame EDI

					issues in the research context. As of January 2021, 195 out of the 270 reading group members (72%) have completed the additional REF EDI training. [Completed]
6.2. Flexible working (work-life balance and wellbeing)					
6.2.1.	Monitor researchers' perceptions of equal treatment with regard to flexible working policies.	HROD/HR Business partners	September 2019	A consistent application of the University's flexible working policy. Monitor through CROS (Q.11)	Researchers' perceptions measured via CROS (see 24 in survey data table). Our two 'pulse' surveys asked staff to what extent they would like to build homeworking into their normal working pattern post-Covid (see survey data table Q. 25). We have committed to look at ways of working post-Covid and have established a University-wide Staff Experience leadership group to consider everything from remote and flexible working to EDI. We have also established an EDI group for research & innovation - see 6.1.2 [Completed. Ongoing activities in new action plan, Ref. ECM4]

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IMPLEMENTATION AND REVIEW

Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK				
Action	**Lead**	**Timescale**	**Success measure**	**Progress**
7.1. Monitor Progress and Review Implementation				
7.1.1. Revised action plan to be embedded within the objectives of the Creating Knowledge implementation plan and specifically the goal to create a strong research and knowledge exchange culture. RCOG to review progress against action plan and to report as needed to CKB (at least annually).	RCOG	3 meetings per year (typically September, January and May) with a full review of the action plan at the May meeting.	Progress against the action plan to be a component of Creating Knowledge Performance report. Consistent RAG ratings of green for progress (the initiative is on track to deliver the activities as per the plan) and impact (the impact and benefits are on track to be delivered).	RCOG meetings were held 3 times per year. We reviewed progress against the Concordat action plan at each meeting, according to action timescales. RCOG members provided updates and reflections from their areas. We have recently revised the membership of RCOG to reflect the new College and Research Institute structures. Our institutional commitment to the new Concordat was approved by Research Leadership Group in August 2020, and University Leadership Team September 2020. [Completed]
7.1.2. Engage with and contribute to, as appropriate, sector activities in the area of researcher support and development and research excellence including the CROS and	RIS	Attendance at regional and national events, meetings and conferences.	Shared learning with, and from, the wider sector to enhance researcher career development support at the University.	Engagement and participation with external initiatives has informed our practice, including: • We participated in the pilot of the UKCGE Research Supervisor

	PIRLS surveys.				Recognition Scheme in 2019, and some of our staff are reviewers on the scheme. • The Director of the Doctoral School and Chair of RCOG is on the UKCGE Council and Co-Chair of the Deans of Doctoral Schools Network. • We are active in regional and national staff development networks, and hosted the UKCGE regional meeting • We are active participants in several doctoral training partnerships. Our Researcher Training & Development Manager is Chair of the University Alliance DTA Training Group [Completed]

7.2. Communication and Consultation with Research Community

7.2.1.	Publish biennial reports of progress against the Concordat strategy and action plan on the University's external website supported by regular features in the Research and Knowledge Exchange Newsletter and the Creating Knowledge blog to the research community on developments.	RCOG/RIS	January 2019, then quarterly	Use of online and face-to-face channels to capture staff views and communicate relevant activities and news.	We publish biennial reports on the research area of the SHU website We have communicated relevant activities and news as appropriate via the R&KE newsletter, the weekly 'Academic Digest' (emailed to all academic staff) and the daily "We are Hallam" (emailed to all staff). We have captured staff views on a range of subjects relating to the Concordat principles via:

					• CROS/PIRLS 2019 • Internal staff surveys in April 2019, April 2020 and October 2020 • Focus groups with research leaders – Autumn 2020 • 2-way feedback through RCOG Reps • Consultation with the ECR Network [Completed]
7.2.2.	Further develop and consolidate the Creating Knowledge hub as the central point of communications for all researchers at SHU. This will provide a coherent hub of relevant and up to date information that provides a point of entry for all research and knowledge exchange support at the University, underpinning the Creating Knowledge Implementation Plan. This includes staff development and activities in support of progress under the Concordat.	Strategic Portfolio Team supported by RIS	April 2019	Steady increase in volume of hits to > 100 hits per week Raised awareness and understanding of the Concordat and associated University action plan (CROS Q16). Target >50% have heard of the Concordat and the HR Excellence in Research award (CROS 2017 65% and 68% respectively had not heard of these).	We further developed the content of the CK hub over 2019. A 'hit measure' is not available, but the number of subscribers increased to 124. In light of new research structures we have now replaced the CK hub with new staff intranet sites for 'Research & Innovation' (strategic information and news) and 'Research & Innovation Services' (professional services support). Regular research updates are now also included in the weekly Academic Digest (to all academic staff). CROS 2019 indicated that most respondents receive research-related updates via their Head of Research Centre or Department. PIRLS 2019 indicated that most respondents received information via the CK hub, suggesting central sites are useful in providing information to research leaders which then filters down in local

					briefings. (See survey data table Q. 27, 28)
					CROS 2019 indicated that only a minority of respondents were familiar with the Concordat or the HREiR Award (Survey data table Q.26). As our Concordat actions are embedded in/ complement our institutional priorities and strategies in relation to research and HROD, we tend to communicate these institutional strategies rather than the Concordat itself. However, the University's commitment to the new Concordat is an opportunity to refresh our communications and staff awareness of the Concordat's principles, and this will be an action in our 2021 plan.
					[Completed. Ongoing activities in new action plan, Ref. EI2]

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Abbreviations used:

ACF	Academic Careers Framework	E&D	Equality and Diversity	PIRLS	Principal Investigator and Research Leaders Survey
ADD	Academic Development and Diversity (previously Provost Group)	ECR	Early Career Researcher	PVC	Pro-Vice-Chancellor
ADRI	Assistant Dean Research and Innovation	EDI	Equality, Diversity and Inclusion	R&KE	Research and Knowledge Exchange
AFHEA	Associate Fellow of the Higher Education Academy (*now AdvanceHE*)	EIA	Equality Impact Assessment	RCOG	Researcher Concordat Operations Group
AR	Academic - Research (staff contract type)	EIA	Equality Impact Assessment	REF	Research Excellence Framework
ATR	Academic – Teaching and Research (staff contract type)	EOS	Employee Opinion Survey	RI	Research Institute
AWP	Academic Work Plan	FHEA	Fellow of the Higher Education Academy (*now AdvanceHE*)	RIS	Research and Innovation Services (*previously Research and Innovation Office, RIO*)
AWRC	Advanced Wellbeing Research Centre	HEA	Higher Education Academy	RLG	Research Leadership Group
BAME	Black, Asian and Minority Ethnic	HEI	Higher Education Institution	SES	Staff Engagement Survey
CK	Creating Knowledge	HR	Human Resources	SFHEA	Senior Fellow of the Higher Education Academy (*now AdvanceHE*)
CKB	Creating Knowledge Board	HREiR	HR Excellence in Research	SHaRD	Sheffield Hallam Researcher Development
CPD	Continuing Professional Development	HROD	Human Resources and Organisational Development	SHU	Sheffield Hallam University
CROS	Careers in Research Online Survey	KE	Knowledge Exchange	UKCGE	UK Council for Graduate Education
DORA	Declaration on Research Assessment	PDR	Performance and Development Review	UKPSF	UK Professional Standards Framework (AdvanceHE)
DTA	Doctoral Training Alliance	PGR	Postgraduate Research student	ULT	University Leadership Team

Note: As part of our Academic Careers Framework work, we have revised our terminology from 'Reader' to 'Associate Professor'. Both terms may be used interchangeably in this document, depending on when the text was written.