

SHEFFIELD HALLAM UNIVERSITY - PROGRESS AGAINST CONCORDAT ACTION PLAN - v2.0 (JUNE 2014)

Action	Lead	Timescale	Progress update (January 2017)
1 RECRUITMENT AND SELECTION			
<p>1.3 Receive a biannual management information report on starters and leavers. This could include researcher, lecturer and senior lecturer posts and contain details of those applying, short-listed and appointed; by captured protected characteristics, working commitment and contract status. Data on the quantity of jobs externally and internally advertised, plus those going to those on redeployment, could also be included. Explore alignment with Athena-SWAN reporting.</p>	Human Resources	Winter 2014/15, then biannually	<p>Ongoing and taken forward in new plan</p> <p>There is overlap in membership between this committee and the University Athena SWAN Self-Assessment Team which receives management information reports on academic staff including starters and leavers, application success, contract type by job category and gender. Under the new plan, we will explore links with other groups in the University to review how management information is used to inform priorities and actions, with a particular focus for us on researchers.</p> <p>A new exit questionnaire process was introduced in September 2016 for all staff and we will be monitoring data as this develops.</p> <p>RIO receives a monthly update from HR on new research and academic staff who have attended a SHU induction. This list is used to provide targeted introductory meetings between Research Support and new researchers, as applicable.</p>
<p>1.4 Update recruitment and selection training package to focus more on unconscious bias training.</p>	Human Resources	Spring 2015	<p>Completed and built on in new plan</p> <p>We now have an Unconscious Bias E-Learning module available to all staff. The Recruitment and Selection workshop has a specific section on Unconscious Bias, as well as a section on Employment Law. We also have a toolkit, which guides managers through each stage of the recruitment process and this includes information on assessing candidates in a fair and consistent way.</p> <p>We have also developed a workshop specifically for staff who will be chairing recruitment panels - this has a section on bias within recruitment. In addition to this training and guidance, a member of the HR recruitment team will support a manager on a 1:1 basis for each recruitment exercise and provide advice e.g. ensuring that recruitment panels have a gender balanced membership.</p>

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2 RECOGNITION AND VALUE			
<p>2.1 The University is developing a career framework for academic, research and professional support staff. The University should ensure that this framework reflects the needs of research and knowledge transfer (R&KT) staff at all stages of their career, and that this is communicated in particular to early career researchers. The framework should include identification of appropriate development interventions and may involve further integration of the RDF/RDF Planner into University structures.</p>	<p>Human Resources (with Research and Innovation Office)</p>	<p>Winter 2015/16</p>	<p>Completed and built on in new plan</p> <p>The Academic Staff Career Pathways framework demonstrates the career framework, and various career development routes, that are available to academic staff.</p> <p>To complement this framework, a mapping of development needs against resources has been undertaken and was presented at the “Developing Your Research Career” conference at SHU on 18 April 2016 to 127 academic attendees.</p> <p>The resource mapping document is also introduced to new staff at University induction.</p>
<p>2.5 Undertake EOS 2014, CROS 2015 and PIRLS 2015 to measure progress in enhancing the career satisfaction of the University's researchers and identify new priorities for action.</p>	<p>Research and Innovation Office (with Human Resources)</p>	<p>Spring 2015</p>	<p>Completed and ongoing in 2017</p> <p>The Employee Opinion Survey (EOS) 2014, Careers in Research Online Survey (CROS) 2015 and Principal Investigator and Research Leader Survey (PIRLS) 2015 were all undertaken but interpretation of the data is challenging because EOS responses cannot be broken down by research-active staff in all areas of the University and the CROS and PIRLS response rates were very low (12% and 17% respectively).</p> <p>Nevertheless priorities for action identified through the surveys include research community, parity of esteem in teaching and research, and clarity of research progression pathways. These will be built on in our future plans.</p>

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<p>2.7 Ensure research managers understand their responsibilities for the management of researchers, particularly those circulated in a new statement of expectations. Consistency of appraisals will be a particular focus, including new supplementary guidance for appraisers with research and impact prompts and advice on encouraging the use of the RDF/RDF Planner.</p>	<p>Research and Innovation Office (with Human Resources)</p>	<p>Summer 2015</p>	<p>Completed and built on in new plan</p> <p>Appraisal guidance has been developed for appraisers of research-active staff (circulated to managers in June 2014, and available on the staff intranet). The guidance is intended to supplement the HR appraisal guidance by introducing some research specific prompts, to help managers of research-active staff tailor discussions to the particular requirements of those undertaking research. The prompts are intended to help steer conversations, and can be selected and adapted accordingly for the individual, dependent on their career stage.</p> <p>Whilst almost all staff have an annual appraisal, EOS 2014 and CROS 2015 both indicate that its usefulness could be improved. This is being taken forward in our new plan.</p> <p>A statement of expectations for the management of research-active staff was produced by RCSC in July 2014 and is available via the staff intranet.</p> <p>Our response to the Concordat for Research Integrity identifies the responsibilities of managers and researchers regarding research integrity.</p>
<p>2.8 Introduce a clear progression pathway/formalised research career structure above grade 8 (reader role).</p>	<p>Human Resources</p>	<p>Summer 2015</p>	<p>Completed</p> <p>Annual processes have been put in place (2015) for 'Academic Progression to Reader' and 'Academic Appointment to Professor', and guidance is available to all staff via the staff intranet.</p>
<p>2.9 Ensure the delivery of the staffing/people aspects of REF UoA strategies, which cover training and development of researchers and succession planning, by incorporating these into faculty planning.</p>	<p>Assistant Deans of Research</p>	<p>Spring 2015</p>	<p>Ongoing</p> <p>REF UoA strategies in the environment statements are currently being incorporated into faculty plans and an environment overview is required as part of the University's regular assessment of research ('mini-REF' exercise). The process has identified areas in which we could change our practice to grow our research and innovation activity, which are reflected in our next action plan.</p>

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3&4 SUPPORT AND CAREER DEVELOPMENT			
<p>3.5 Deliver a comprehensive learning and teaching CPD programme, which addresses the range of researchers' needs and assists in equipping them for academic careers.</p>	<p>Quality Enhancement and Student Success (now known as Learning Enhancement and Academic Development - LEAD)</p>	<p>Review Autumn 2015</p>	<p>Ongoing</p> <p>Researchers have access to a broad range of activities coordinated by LEAD designed to help staff develop their teaching practice and enhance their academic profiles. https://blogs.shu.ac.uk/lead/supporting-academics/</p> <p>Doctoral researchers are supported to engage with teaching through our 'Teaching Skills for Doctoral Students' course, as well as Epigeum online modules.</p> <p>The Academic CPD portal has been produced to bring together in one platform, information on opportunities available to staff and students involved in teaching and/or research. The total number of page views was ~2000 in Academic Year 2014-15 and ~1200 in 2015-16.</p>
<p>3.7 Promote placements for researchers as an opportunity to broaden their awareness of other fields and sectors. This could involve capturing examples of good practice and monitoring uptake of schemes such as industrial fellowships.</p>	<p>Heads of Research Centres</p>	<p>Review Autumn 2015</p>	<p>Revised action</p> <p>A strategic approach has been taken to develop collaborative R&D to enhance research quality, partnership working and embed impact.</p> <p>In 2014/15 an annual Impact Fellowship programme was established to develop new collaborations, pump prime contract research and collaborative R&D. The programme provides a mechanism to enable research and knowledge exchange leaders from industry, public, third sector and cultural organisations to work with researchers. 21 fellows were supported over the period 2014-16 with a further 8 commencing in 2016-17.</p> <p>The University has also established a travel fund to enable research-active staff to develop international research collaborations. Since its introduction in November 2015, the University has awarded £39,468 to 47 researchers.</p>
<p>3.8 Introduce a centrally co-ordinated, strategically-aligned, researcher development programme for all researchers.</p>	<p>Research and Innovation Office</p>	<p>Review Autumn 2015</p>	<p>Completed and built on in new plan</p> <p>The Sheffield Hallam Researcher Development Programme (SHaRD), launched in 2013, is aimed at researchers at all stages of their career, including doctoral students. Informed by Vitae's Researcher Development Framework but tailored to the University's Research</p>

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			<p>Strategy, it offers delivered face to face and online courses and resources across the thematic areas of: research essentials, research skills, communicating research, managing research, and career management. Provision is facilitated by RIO, with delivery from practitioners across the University, including academic and professional services staff, and also external consultants. The programme is flexible and needs-based, enabling researchers to focus on those areas that will support their professional growth. Training and development pathways are signposted according to career stage including: i) new/back to research; ii) doctoral researchers; iii) emerging independent researchers; iv) established researchers and v) research leaders. Since the launch of SHaRD an average of 27 events have been held annually attracting 815 attendances.</p>
<p>3.9 Embed online Epigeum courses into researcher development to provide blended development, whereby pertinent and timely delivered sessions are complemented by a coherent range of 'on demand' offerings.</p>	<p align="center">Research and Innovation Office</p>	<p align="center">Spring 2015</p>	<p>Completed and built on in new plan</p> <p>The suite of Epigeum online resources that we have invested in is listed below and the * indicates where we were also members of the development group for these resources:</p> <p>Research Skills, Research Integrity, Professional Skills for Research Leaders*, Enhancing Research Impact*, Statistical Methods for Research, Supervising Doctoral Studies, University and College Teaching, and Teaching Online.</p> <p>We will continue to look at ways to increase the uptake of these courses as a means of 'on demand' development for researchers.</p> <p>All doctoral students are now required to complete the Epigeum online research ethics modules, shortly after they register. This is followed by a face-to-face session at the university wide induction that the new students attend. This is then followed up with drop in sessions or bespoke sessions as requested for students, supervisors or both. For example separate tailored research ethics and integrity workshops have recently been delivered to the Institute of Education for students and supervisors; Humanities and Performance Art for doctoral students (although some supervisors also attended); Psychology doctoral supervisors and researchers. The online Research Integrity module is also introduced at these sessions. Additional sessions on integrity to support the online course are available.</p>

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<p>3.10 Review inductions received by new research-active staff, including ways to increase the research focus and to improve engagement by making them more relevant and appealing.</p>	<p>Research and Innovation Office (with Human Resources)</p>	<p>Summer 2015</p>	<p>Completed and built on in new plan</p> <p>All new starters to the University are invited to the University induction, run at regular intervals throughout the year. Support for research is signposted at these events by RIO. Researchers are invited to attend one-to-one or group sessions to explore research support available within RIO. The PVC Research and Innovation held the first University-wide researcher induction session in 2016 for all new starters.</p>
<p>4.4 Ensure senior research leaders can access leadership development alongside their teaching equivalents, providing support in key areas of leadership and management responsibilities. This would support succession planning, career development and effective leadership.</p>	<p>Human Resources</p>	<p>Winter 2015/16</p>	<p>Ongoing</p> <p>The University offers a wide range of Leadership and Management Development workshops as part of the University development programme. These are available to all staff across the University, who work in a management or leadership role.</p> <p>In addition to this, an Academic Leadership programme was introduced in March 2015. This is offered to all academic leaders, to actively include research leaders. Cohort 1 of this programme was launched in March 2015 and a total of 164 Academic Leaders took part in the programme. Cohort 2 was launched in March 2016, with a total of 59 Academic Leaders taking part. It is planned to launch cohort 3 in March 2017.</p>
<p>4.5 Encourage formal mentoring within the research community, including promotion of central schemes for senior staff and support of local schemes for junior researchers.</p>	<p>Research and Innovation Office (with Human Resources)</p>	<p>Review Spring 2015</p>	<p>Completed and built on in new plan</p> <p>As part of the University's ambition to increase research excellence, a policy of peer support for research grant applications was approved in June 2016. The overarching aims are to raise proposal quality and increase success rates; share best practice with colleagues, especially to benefit early career staff; and to further build our research and innovation reputation. The Policy encourages Research Institutes/Centres to provide mentoring for researchers at all stages of their career but particularly for early career researchers and those new to academia or to the University, when this need is identified via staff appraisal.</p> <p>The University has integrated mentoring into a number of its development programmes. There are also local and university-wide mentoring schemes available to staff at the University.</p>

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			<p>In April 2013, the Women Professors' Group, with HR, established the 'Aspire' mentoring scheme, to support female academics at SHU. Initially aimed at addressing the gender imbalance in professor and reader roles, over time the scheme has widened to support female academics more generally, e.g. returning from a career break, career transitions, recently taken on more responsibilities, or wanting to raise their profile. Aspire has supported 53 female academics so far and was the basis of a case study featured on the Vitae website.</p> <p>Three cohorts of women (49 in total) have also been supported through the national 'Aurora' development programme, run by the Leadership Foundation for Higher Education.</p>
5 RESEARCHERS' RESPONSIBILITIES			
<p>5.2 Promote HEA associate fellowships, fellowships, senior fellowships and principal fellowships, including through research-based cases.</p>	<p>Quality Enhancement and Student Success (now Learning Enhancement and Academic Development)</p>	<p>Review Autumn 2015</p>	<p>Ongoing</p> <p>The University has an HEA-accredited route to achieve HEA fellowship, and staff are actively encouraged to engage.</p> <p>A module has been introduced to help researchers evidence descriptor D1 of the UK Professional Standards Framework and gain Associate Fellowship of the Higher Education Academy. The module is aimed at those in roles which may not be fully teaching oriented, or which do not cover the full spectrum of teaching activities.</p> <p>Specific sessions have been run for researchers for Senior Fellowship of the Higher Education Academy as a two day away session.</p>
<p>5.3 Embed the Concordat for Engaging the Public with Research, particularly the principle that researchers are enabled to participate in public engagement activities through appropriate training, support and opportunities. Capture and share good practice examples of public engagement from within the University.</p>	<p>Research and Innovation Office (with Corporate Affairs)</p>	<p>Winter 2015/16</p>	<p>Partially complete</p> <p>Public engagement is a core component within the University's impact strategy. Support for impact has been provided through the mini-REF (2015). This will be continued in mini-REF (2017) and through the appointment of a new research impact support officer post in RIO.</p> <p>The first University-wide academic impact day was held in October 2016 and attended by 112 participants. Plenary sessions delivered by internal and external speakers were supplemented by academic lightning talks showcasing their individual experiences. Breakout workshops explored issues in-depth ranging from scholarly communications to REF-related impact.</p>

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			<p>Pockets of good practice exist across the institution. For example: i) many staff and students have attended STEM ambassador training to learn how to talk to schools and the public, ii) individuals can access media training, iii) we have joined 'The Conversation' as a partner, iv) there is lay representation on ethics panels, v) doctoral students have taken part in the 3 Minute Thesis competition for the past two years and v) we are a partner with the University of Sheffield at the annual ESRC Festival of Social Science and the Sheffield Festival of Science and Engineering.</p>
<p>5.4 Encourage the involvement of ECR reps in faculty, as well as University-level, governance structures. Develop a transparent selection process for reps involving calls for expressions of interest and explicit selection criteria.</p>	<p>RCSC (Faculty Leads)</p>	<p>Summer 2015</p>	<p>Completed</p> <p>Pro-formas have been developed for recruiting ECR and PGR reps to committees articulating the benefits (e.g. exposure to policy and strategy, development of transferable skills, evidence of undertaking a leadership role).</p> <p>In addition to staff reps, a network of reps exists at PGR level, managed by the Students' Union. We brought all the PGR reps together for the first time in September 2016. The meeting included discussion on expectations of and guidance for the role, which is being taken forward by the Students' Union.</p> <p>With the establishment of the Doctoral School, RCSC will now focus on staff researchers. RCSC representation of doctoral researchers, where required, is achieved via the Doctoral School staff on RCSC,</p>
<p>5.5 Introduce Research Environment Champions (0.1 FTE roles) as dedicated conduits between researchers locally and governance structures.</p>	<p>RCSC</p>	<p>Spring 2015</p>	<p>Completed via an alternative approach</p> <p>The University has a comprehensive network of REF UoA Coordinators (a time allocated academic role), who lead the REF preparations and submission in each UoA. It was recognised that there was considerable overlap and potential for duplication between the activities performed by the UoA Coordinators and those of the proposed Environment Champions. It was therefore decided not to proceed with the Environment Champions to avoid confusion and duplication and to provide focus within the REF planning on the research environment.</p>

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6 DIVERSITY AND EQUALITY			
<p>6.2 Act on the recommendations of the REF 2014 Equality Impact Assessment and undertake a full investigation to uncover the reason(s) for and initiate interventions to address the matter of female researchers not putting themselves forward for consideration in the REF (the mismatch between the eligible pool and those considered).</p>	<p>Women Professors' Group (with Equality and Diversity Team)</p>	<p>Spring 2015</p>	<p>Completed and built on in new plan</p> <p>For REF 2014 the University was required to apply a code of practice to embed the principles of equality and diversity legislation in the decision-making processes on submissions (http://www.shu.ac.uk/research/ref.html).</p> <p>An Equality Impact Assessment (EIA) was undertaken on the policy and processes for selecting staff. The University made a commitment to continue this process with a view to closing a significant gender gap, whereby fewer women came forward for selection. A new EIA was undertaken as part of the mini-REF 2015 exercise to highlight any significant equality and diversity issues, to check that areas of concern from REF 2014 are improving, and to make recommendations with a view to further improving staff participation in future assessment exercises - with explicit reference to under-represented groups. Significant progress has been made at the University in several areas in the 18-month period between REF 2014 and mini-REF 2015. Of particular note is the increase in our female participants as a proportion of the eligible academic pool from 23% to 28%. The exercise will be repeated for mini-REF 2017 to ensure the direction of travel remains and that any significant gaps that exist between under-represented groups continue to shrink. Reviewers of outputs for mini-REF will be encouraged to take an unconscious bias online module to minimise potential gender bias in the review process.</p>
7 IMPLEMENTATION AND REVIEW			
<p>7.1 The Concordat Working Group will continue to monitor progress and review implementation.</p>	<p>RCSC</p>	<p>Biannual meetings; Jan 2017 external review</p>	<p>Completed, and ongoing</p> <p>RCSC meetings took place as follows:</p> <p>2014/15 - March 2015/16 - October & February 2016/17 - September, December, January</p>

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<p>7.3 Publish annual reports of progress against this action plan on the University's external website. Capture the achievements of the RCSC and raise its profile with researchers, as well as detail what it will be doing next.</p>	<p align="center">RCSC</p>	<p align="center">June 2015, then annually</p>	<p>Completed, and ongoing</p> <p>Annual reports are presented to the Research and Innovation Committee and published on our external website. A special edition of the University's Research and Knowledge Transfer newsletter was published in December 2016 to highlight support for ECRs.</p>
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Abbreviations used:

CPD	Continuing Professional Development	RCSC	Researcher Concordat Sub-Committee
CROS	Careers in Research Online Survey	R&D	Research & Development
ECR	Early Career Researcher	RDF	Researcher Development Framework
E&D	Equality and Diversity	REF	Research Excellence Framework
EIA	Equality Impact Assessment	RIO	Research and Innovation Office
EOS	Employee Opinion Survey	SAT	Self-Assessment Team (Athena SWAN)
FTE	Full-Time Equivalent	SHaRD	Sheffield Hallam Researcher Development (programme)
HEA	Higher Education Academy	SHU	Sheffield Hallam University
HR	Human Resources	STEM	Science, Technology, Engineering and Maths
LEAD	Learning Enhancement and Academic Development	UoA	(REF) Unit of Assessment
PGR	Post-Graduate Researcher	UoAC	(REF) Unit of Assessment Coordinator
PIRLS	Principal Investigator and Research Leader Survey		